

DETAILED MODEL PLAN (LIHEAP)

Program Name: Low Income Home Energy Assistance

Grantee Name: OR Grand Ronde Confederated Tribes

Report Name: DETAILED MODEL PLAN (LIHEAP)

Report Period: 10/01/2021 to 09/30/2022

Report Status: Submission Accepted by CO

Report Sections

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Mandatory Grant Application SF-424

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
ADMINISTRATION FOR CHILDREN AND FAMILIES

August 1987, revised 05/92,02/95,03/96,12/98,11/01
OMB Clearance No.: 0970-0075
Expiration Date: 12/31/2023

LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP) MODEL PLAN SF - 424 - MANDATORY

| | | | |
|--|---|---|--|
| * 1.a. Type of Submission: <input checked="" type="radio"/> Plan | * 1.b. Frequency: <input checked="" type="radio"/> Annual | * 1.c. Consolidated Application/Plan/Funding Request? Explanation: | * 1.d. Version: <input checked="" type="radio"/> Initial <input type="radio"/> Resubmission <input type="radio"/> Revision <input type="radio"/> Update |
| | | 2. Date Received: | State Use Only: |
| | | 3. Applicant Identifier: | |
| | | 4a. Federal Entity Identifier: | 5. Date Received By State: |
| | | 4b. Federal Award Identifier: | 6. State Application Identifier: |

7. APPLICANT INFORMATION

| | | | |
|--|-----------------------|--|---------|
| * a. Legal Name: Confederated Tribes of the Grand Ronde Community of Oregon | | | |
| * b. Employer/Taxpayer Identification Number (EIN/TIN): 93-0899337 | | * c. Organizational DUNS: 161155346 | |
| * d. Address: | | | |
| * Street 1: | 9615 Grand Ronde Road | Street 2: | |
| * City: | GRAND RONDE | County: | Polk |
| * State: | OR | Province: | |
| * Country: | United States | * Zip / Postal Code: | 97347 - |

e. Organizational Unit:

| | |
|---|--|
| Department Name: Social Services Department | Division Name: Tribal Government |
|---|--|

f. Name and contact information of person to be contacted on matters involving this application:

| | | | |
|--|--|--|-------------------------------|
| Prefix: Mr. | * First Name: Kim | Middle Name: | * Last Name: Rogers |
| Suffix: | Title: Planning & Grants Manager | Organizational Affiliation: | |
| * Telephone Number: (503) 879-2250 | Fax Number: (503) 879-2263 | * Email: kim.rogers@grandronde.org | |

*** 8a. TYPE OF APPLICANT:**
I: Indian/Native American Tribal Government (Federally Recognized)

b. Additional Description:
Social Services Department

*** 9. Name of Federal Agency:**

| | | |
|------------------------------------|---|---|
| | Catalog of Federal Domestic Assistance Number: | CFDA Title: |
| 10. CFDA Numbers and Titles | 93.568 | Low-Income Home Energy Assistance Program |

11. Descriptive Title of Applicant's Project
LIHEAP


12. Areas Affected by Funding:
Polk, Yamhill, Marion, Tillamook, Washington, Multnomah & Clackamas Counties of Oregon

13. CONGRESSIONAL DISTRICTS OF:

| | |
|-----------------------------|-------------------------------------|
| * a. Applicant 05 | b. Program/Project: OR005 |
|-----------------------------|-------------------------------------|

Attach an additional list of Program/Project Congressional Districts if needed.

| | |
|----------------------------|-------------------------------|
| 14. FUNDING PERIOD: | 15. ESTIMATED FUNDING: |
|----------------------------|-------------------------------|

| | | | |
|---|-----------------------------------|---|------------------------------|
| a. Start Date: 10/01/2021 | b. End Date: 09/30/2022 | * a. Federal (\$): \$0 | b. Match (\$): \$0 |
| * 16. IS SUBMISSION SUBJECT TO REVIEW BY STATE UNDER EXECUTIVE ORDER 12372 PROCESS? | | | |
| a. This submission was made available to the State under the Executive Order 12372 | | | |
| Process for Review on : | | | |
| b. Program is subject to E.O. 12372 but has not been selected by State for review. | | | |
| c. Program is not covered by E.O. 12372. | | | |
| * 17. Is The Applicant Delinquent On Any Federal Debt? | | | |
| <input type="radio"/> YES | | | |
| <input checked="" type="radio"/> NO | | | |
| Explanation: | | | |
| 18. By signing this application, I certify (1) to the statements contained in the list of certifications** and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001) | | | |
| **I Agree <input checked="" type="checkbox"/> | | | |
| ** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions. | | | |
| 18a. Typed or Printed Name and Title of Authorized Certifying Official Kim Rogers | | 18c. Telephone (area code, number and extension) (503) 879-2250 | |
| | | 18d. Email Address kim.rogers@grandronde.org | |
| 18b. Signature of Authorized Certifying Official  | | 18e. Date Report Submitted (Month, Day, Year) 08/31/2021 | |
| Attach supporting documents as specified in agency instructions. | | | |

Section 1 - Program Components

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
ADMINISTRATION FOR CHILDREN AND FAMILIES

August 1987, revised 05/92,02/95,03/96,12/98,11/01
OMB Clearance No.: 0970-0075
Expiration Date: 12/31/2023

LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP) MODEL PLAN SF - 424 - MANDATORY

Department of Health and Human Services
Administration for Children and Families
Office of Community Services
Washington, DC 20201

August 1987, revised 05/92, 02/95, 03/96, 12/98, 11/01
OMB Approval No. 0970-0075
Expiration Date: 12/31/2023

THE PAPERWORK REDUCTION ACT OF 1995 (Pub. L. 104-13) Use of this model plan is optional. However, the information requested is required in order to receive a Low Income Home Energy Assistance Program (LIHEAP) grant in years in which the grantee is not permitted to file an abbreviated plan. Public reporting burden for this collection of information is estimated to average 1 hour per response, including the time for reviewing instructions, gathering and maintaining the data needed, and reviewing the collection of information. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.

Section 1 Program Components

Program Components, 2605(a), 2605(b)(1) - Assurance 1, 2605(c)(1)(C)

| 1.1 Check which components you will operate under the LIHEAP program. (Note: You must provide information for each component designated here as requested elsewhere in this plan.) | Dates of Operation | |
|---|--------------------|------------|
| | Start Date | End Date |
| <input checked="" type="checkbox"/> Heating assistance | 10/01/2021 | 06/30/2022 |
| <input checked="" type="checkbox"/> Cooling assistance | 06/01/2022 | 09/30/2022 |
| <input checked="" type="checkbox"/> Crisis assistance | 10/01/2021 | 09/30/2022 |
| <input checked="" type="checkbox"/> Weatherization assistance | 10/01/2021 | 09/30/2022 |

Provide further explanation for the dates of operation, if necessary

Estimated Funding Allocation, 2604(C), 2605(k)(1), 2605(b)(9), 2605(b)(16) - Assurances 9 and 16

| 1.2 Estimate what amount of available LIHEAP funds will be used for each component that you will operate: The total of all percentages must add up to 100%. | Percentage (%) |
|---|------------------|
| Heating assistance | 57.00% |
| Cooling assistance | 3.00% |
| Crisis assistance | 10.00% |
| Weatherization assistance | 10.00% |
| Carryover to the following federal fiscal year | 10.00% |
| Administrative and planning costs | 10.00% |
| Services to reduce home energy needs including needs assessment (Assurance 16) | 0.00% |
| Used to develop and implement leveraging activities | 0.00% |
| TOTAL | 100.00% |

Alternate Use of Crisis Assistance Funds, 2605(c)(1)(C)

1.3 The funds reserved for winter crisis assistance that have not been expended by March 15 will be reprogrammed to:

| | |
|--|--|
| <input checked="" type="checkbox"/> Heating assistance | <input checked="" type="checkbox"/> Cooling assistance |
|--|--|

| | | | | | |
|--|--|---|---|---|---|
| <input type="checkbox"/> | Weatherization assistance | <input checked="" type="checkbox"/> | Other (specify): remain in Crisis Assistance. | | |
| Categorical Eligibility, 2605(b)(2)(A) - Assurance 2, 2605(c)(1)(A), 2605(b)(8A) - Assurance 8 | | | | | |
| 1.4 Do you consider households categorically eligible if one household member receives one of the following categories of benefits in the left column below? <input checked="" type="radio"/> Yes <input type="radio"/> No | | | | | |
| If you answered "Yes" to question 1.4, you must complete the table below and answer questions 1.5 and 1.6. | | | | | |
| | | Heating | Cooling | Crisis | Weatherization |
| TANF | | <input checked="" type="radio"/> Yes <input type="radio"/> No | <input checked="" type="radio"/> Yes <input type="radio"/> No | <input checked="" type="radio"/> Yes <input type="radio"/> No | <input checked="" type="radio"/> Yes <input type="radio"/> No |
| SSI | | <input checked="" type="radio"/> Yes <input type="radio"/> No | <input checked="" type="radio"/> Yes <input type="radio"/> No | <input checked="" type="radio"/> Yes <input type="radio"/> No | <input checked="" type="radio"/> Yes <input type="radio"/> No |
| SNAP | | <input checked="" type="radio"/> Yes <input type="radio"/> No | <input checked="" type="radio"/> Yes <input type="radio"/> No | <input checked="" type="radio"/> Yes <input type="radio"/> No | <input checked="" type="radio"/> Yes <input type="radio"/> No |
| Means-tested Veterans Programs | | <input checked="" type="radio"/> Yes <input type="radio"/> No | <input checked="" type="radio"/> Yes <input type="radio"/> No | <input checked="" type="radio"/> Yes <input type="radio"/> No | <input checked="" type="radio"/> Yes <input type="radio"/> No |
| | Program Name | Heating | Cooling | Crisis | Weatherization |
| Other(Specify) 1 | | <input type="radio"/> Yes <input type="radio"/> No | <input type="radio"/> Yes <input type="radio"/> No | <input type="radio"/> Yes <input type="radio"/> No | <input type="radio"/> Yes <input type="radio"/> No |
| 1.5 Do you automatically enroll households without a direct annual application? <input type="radio"/> Yes <input checked="" type="radio"/> No | | | | | |
| If Yes, explain: | | | | | |
| 1.6 How do you ensure there is no difference in the treatment of categorically eligible households from those not receiving other public assistance when determining eligibility and benefit amounts? The Grand Ronde Tribes will use their existing payment matrix which takes into consideration household income, household size, and energy cost. They also need to be within the service area. Highest benefits will go to the households with the lowest income and the largest family size. Households may also be made eligible where one or more individuals receive TANF, Food Stamps / SNAP, SSI, or certain means tested veterans program payments. Their benefit level will be as shown on the income by household size matrix but if their household is over income (and yet they are still categorically eligible) they would still receive the minimum payment shown for that household size. Our existing LIHEAP service area includes Polk, Yamhill, Marion, Clackamas, Multnomah, Washington and Tillamook counties of Oregon. | | | | | |
| SNAP Nominal Payments | | | | | |
| 1.7a Do you allocate LIHEAP funds toward a nominal payment for SNAP households? <input type="radio"/> Yes <input checked="" type="radio"/> No | | | | | |
| If you answered "Yes" to question 1.7a, you must provide a response to questions 1.7b, 1.7c, and 1.7d. | | | | | |
| 1.7b Amount of Nominal Assistance: \$0.00 | | | | | |
| 1.7c Frequency of Assistance | | | | | |
| <input type="checkbox"/> | Once Per Year | | | | |
| <input type="checkbox"/> | Once every five years | | | | |
| <input type="checkbox"/> | Other - Describe: | | | | |
| 1.7d How do you confirm that the household receiving a nominal payment has an energy cost or need? | | | | | |
| Determination of Eligibility - Countable Income | | | | | |
| 1.8. In determining a household's income eligibility for LIHEAP, do you use gross income or net income ? | | | | | |
| <input checked="" type="checkbox"/> | Gross Income | | | | |
| <input type="checkbox"/> | Net Income | | | | |
| 1.9. Select all the applicable forms of countable income used to determine a household's income eligibility for LIHEAP | | | | | |
| <input checked="" type="checkbox"/> | Wages | | | | |
| <input checked="" type="checkbox"/> | Self - Employment Income | | | | |
| <input type="checkbox"/> | Contract Income | | | | |
| <input type="checkbox"/> | Payments from mortgage or Sales Contracts | | | | |
| <input checked="" type="checkbox"/> | Unemployment insurance | | | | |
| <input type="checkbox"/> | Strike Pay | | | | |
| <input type="checkbox"/> | Social Security Administration (SSA) benefits | | | | |
| | Including MediCare deduc | | Excluding MediCare deduction | | |

| | | |
|-------------------------------------|--|--------------------------|
| <input type="checkbox"/> | tion | <input type="checkbox"/> |
| <input checked="" type="checkbox"/> | Supplemental Security Income (SSI) | |
| <input type="checkbox"/> | Retirement / pension benefits | |
| <input checked="" type="checkbox"/> | General Assistance benefits | |
| <input checked="" type="checkbox"/> | Temporary Assistance for Needy Families (TANF) benefits | |
| <input type="checkbox"/> | Supplemental Nutrition Assistance Program (SNAP) benefits | |
| <input type="checkbox"/> | Women, Infants, and Children Supplemental Nutrition Program (WIC) benefits | |
| <input type="checkbox"/> | Loans that need to be repaid | |
| <input type="checkbox"/> | Cash gifts | |
| <input type="checkbox"/> | Savings account balance | |
| <input checked="" type="checkbox"/> | One-time lump-sum payments, such as rebates/credits, winnings from lotteries, refund deposits, etc. | |
| <input type="checkbox"/> | Jury duty compensation | |
| <input type="checkbox"/> | Rental income | |
| <input type="checkbox"/> | Income from employment through Workforce Investment Act (WIA) | |
| <input type="checkbox"/> | Income from work study programs | |
| <input checked="" type="checkbox"/> | Alimony | |
| <input checked="" type="checkbox"/> | Child support | |
| <input type="checkbox"/> | Interest, dividends, or royalties | |
| <input type="checkbox"/> | Commissions | |
| <input type="checkbox"/> | Legal settlements | |
| <input type="checkbox"/> | Insurance payments made directly to the insured | |
| <input type="checkbox"/> | Insurance payments made specifically for the repayment of a bill, debt, or estimate | |
| <input checked="" type="checkbox"/> | Veterans Administration (VA) benefits | |
| <input type="checkbox"/> | Earned income of a child under the age of 18 | |
| <input type="checkbox"/> | Balance of retirement, pension, or annuity accounts where funds cannot be withdrawn without a penalty. | |
| <input checked="" type="checkbox"/> | Income tax refunds | |
| <input type="checkbox"/> | Stipends from senior companion programs, such as VISTA | |
| <input type="checkbox"/> | Funds received by household for the care of a foster child | |
| <input type="checkbox"/> | Ameri-Corp Program payments for living allowances, earnings, and in-kind aid | |
| <input type="checkbox"/> | Reimbursements (for mileage, gas, lodging, meals, etc.) | |

| | |
|--|-------|
| | |
| <input type="checkbox"/> | Other |
| If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here. | |

Section 2 - HEATING ASSISTANCE

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
ADMINISTRATION FOR CHILDREN AND FAMILIES

August 1987, revised 05/92,02/95,03/96,12/98,11/01
OMB Clearance No.: 0970-0075
Expiration Date: 12/31/2023

LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP) MODEL PLAN SF - 424 - MANDATORY

Section 2 - Heating Assistance

Eligibility, 2605(b)(2) - Assurance 2

2.1 Designate the income eligibility threshold used for the heating component:

| Add | Household size | Eligibility Guideline | Eligibility Threshold |
|-----|---------------------|-----------------------|-----------------------|
| 1 | All Household Sizes | State Median Income | 60.00% |

2.2 Do you have additional eligibility requirements for HEATING ASSISTANCE? Yes No

2.3 Check the appropriate boxes below and describe the policies for each.

Do you require an Assets test ? Yes No

Do you have additional/differing eligibility policies for:

- | | |
|--|---|
| Renters? | <input type="radio"/> Yes <input checked="" type="radio"/> No |
| Renters Living in subsidized housing ? | <input type="radio"/> Yes <input checked="" type="radio"/> No |
| Renters with utilities included in the rent ? | <input type="radio"/> Yes <input checked="" type="radio"/> No |

Do you give priority in eligibility to:

- | | |
|--|---|
| Elderly? | <input type="radio"/> Yes <input checked="" type="radio"/> No |
| Disabled? | <input type="radio"/> Yes <input checked="" type="radio"/> No |
| Young children? | <input type="radio"/> Yes <input checked="" type="radio"/> No |
| Households with high energy burdens ? | <input type="radio"/> Yes <input checked="" type="radio"/> No |
| Other? | <input type="radio"/> Yes <input checked="" type="radio"/> No |

Explanations of policies for each "yes" checked above:

Determination of Benefits 2605(b)(5) - Assurance 5, 2605(c)(1)(B)

2.4 Describe how you prioritize the provision of heating assistance to vulnerable populations, e.g., benefit amounts, early application periods, etc.

We provide two levels of payment in our eligibility matrix. If their income by household size is at 43% of the eligible income threshold they receive additional funds. For a 4 resident household it is \$600 for heating (Natural gas) vs. \$420 for those with higher (but still eligible) incomes.

2.5 Check the variables you use to determine your benefit levels. (Check all that apply):

- | |
|---|
| <input checked="" type="checkbox"/> Income |
| <input checked="" type="checkbox"/> Family (household) size |
| <input checked="" type="checkbox"/> Home energy cost or need: |
| <input checked="" type="checkbox"/> Fuel type |
| <input type="checkbox"/> Climate/region |
| <input type="checkbox"/> Individual bill |
| <input type="checkbox"/> Dwelling type |
| <input type="checkbox"/> Energy burden (% of income spent on home energy) |
| <input type="checkbox"/> Energy need |
| <input type="checkbox"/> Other - Describe: |

| | | | |
|---|-------|------------------------|-------|
| Benefit Levels, 2605(b)(5) - Assurance 5, 2605(c)(1)(B) | | | |
| 2.6 Describe estimated benefit levels for the fiscal year for which this plan applies | | | |
| Minimum Benefit | \$340 | Maximum Benefit | \$600 |
| 2.7 Do you provide in-kind (e.g., blankets, space heaters) and/or other forms of benefits? <input type="radio"/> Yes <input checked="" type="radio"/> No | | | |
| If yes, describe. | | | |
| <p>If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.</p> | | | |

Section 3 - COOLING ASSISTANCE

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
 ADMINISTRATION FOR CHILDREN AND FAMILIES

August 1987, revised 05/92,02/95,03/96,12/98,11/01
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LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP) MODEL PLAN SF - 424 - MANDATORY

Section 3 - Cooling Assistance

Eligibility, 2605(c)(1)(A), 2605 (b)(2) - Assurance 2

3.1 Designate The income eligibility threshold used for the Cooling component:

| Add | Household size | Eligibility Guideline | Eligibility Threshold |
|-----|---------------------|-----------------------|-----------------------|
| 1 | All Household Sizes | State Median Income | 60.00% |

3.2 Do you have additional eligibility requirements for COOLING ASSISTANCE? Yes No

3.3 Check the appropriate boxes below and describe the policies for each.

Do you require an Assets test ? Yes No

Do you have additional/differing eligibility policies for:

- | | |
|---|---|
| Renters? | <input type="radio"/> Yes <input checked="" type="radio"/> No |
| Renters Living in subsidized housing ? | <input type="radio"/> Yes <input checked="" type="radio"/> No |
| Renters with utilities included in the rent ? | <input type="radio"/> Yes <input checked="" type="radio"/> No |

Do you give priority in eligibility to:

- | | |
|---------------------------------------|---|
| Elderly? | <input type="radio"/> Yes <input checked="" type="radio"/> No |
| Disabled? | <input type="radio"/> Yes <input checked="" type="radio"/> No |
| Young children? | <input type="radio"/> Yes <input checked="" type="radio"/> No |
| Households with high energy burdens ? | <input type="radio"/> Yes <input checked="" type="radio"/> No |
| Other? | <input type="radio"/> Yes <input checked="" type="radio"/> No |

Explanations of policies for each "yes" checked above:

3.4 Describe how you prioritize the provision of cooling assistance to vulnerable populations, e.g., benefit amounts, early application periods, etc.

We provide two levels of payment in our eligibility matrix. If their income by household size is at 43% of the eligible income threshold they receive additional funds. For a 4 resident household it is \$550 for cooling and \$450 for those with higher (but still eligible) incomes.

Determination of Benefits 2605(b)(5) - Assurance 5, 2605(c)(1)(B)

3.5 Check the variables you use to determine your benefit levels. (Check all that apply):

- Income
- Family (household) size
- Home energy cost or need:
 - Fuel type
 - Climate/region
 - Individual bill
 - Dwelling type
 - Energy burden (% of income spent on home energy)
 - Energy need
 - Other - Describe:

Benefit Levels, 2605(b)(5) - Assurance 5, 2605(c)(1)(B)

3.6 Describe estimated benefit levels for the fiscal year for which this plan applies

| | | | |
|-----------------|-------|-----------------|-------|
| Minimum Benefit | \$400 | Maximum Benefit | \$550 |
|-----------------|-------|-----------------|-------|

3.7 Do you provide in-kind (e.g., fans, air conditioners) and/or other forms of benefits? Yes No

If yes, describe.

If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.

Section 4 - CRISIS ASSISTANCE

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
ADMINISTRATION FOR CHILDREN AND FAMILIES

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LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP) MODEL PLAN SF - 424 - MANDATORY

Section 4: CRISIS ASSISTANCE

Eligibility - 2604(c), 2605(c)(1)(A)

4.1 Designate the income eligibility threshold used for the crisis component

| Add | Household size | Eligibility Guideline | Eligibility Threshold |
|-----|---------------------|-----------------------|-----------------------|
| 1 | All Household Sizes | State Median Income | 60.00% |

4.2 Provide your LIHEAP program's definition for determining a crisis.

An energy crisis exists when a household faces an energy burden which depletes or threatens to deplete financial resources. This would be a sudden/unexpected event beyond their control resulting in an inability to pay heating or cooling costs such as a sudden loss of a job or benefits or domestic violence. An energy crisis also exists which poses a potential health threat and/or safety threat to the well-being of the household including weather-related causing interruption of service and supply shortage emergencies and extreme heat or cold. Benefit levels for households in crisis are based on the need to reduce or eliminate the crisis. A crisis exists if they are out of fuel/energy or at imminent risk of being so. Imminent is within 48 hours.

4.3 What constitutes a life-threatening crisis?

A life-threatening crisis exists when a household members health and/or well-being would likely be endangered if assistance is not provided to continue heating/cooling energy services. Generally, this would require an active medical certificate but may be deemed a life-threatening crisis if LIHEAP program staff determine extreme circumstances are present (e.g. extreme cold or heat, fuel supply shortage).

In addition, the household must either be disconnected or at imminent risk of disconnection (within 5 days of application) to be considered as having a life-threatening crisis situation. Households with deliverable fuels must either be out of fuel or at imminent risk of being out of fuel. Imminent is within 48 hours.

Life-threatening crisis situations must be addressed within either 18 hours (if already disconnected) or 48 hours (if at risk of disconnection) of application. These timeframes must be documented to ensure compliance with the federal requirement and must include comments outlining how the situation was addressed.

Crisis Requirement, 2604(c)

4.4 Within how many hours do you provide an intervention that will resolve the energy crisis for eligible households? 48Hours

4.5 Within how many hours do you provide an intervention that will resolve the energy crisis for eligible households in life-threatening situations? 18Hours

Crisis Eligibility, 2605(c)(1)(A)

4.6 Do you have additional eligibility requirements for CRISIS ASSISTANCE? Yes No

4.7 Check the appropriate boxes below and describe the policies for each

Do you require an Assets test ? Yes No

Do you give priority in eligibility to :

- | | |
|--------------------------------------|---|
| Elderly? | <input type="radio"/> Yes <input checked="" type="radio"/> No |
| Disabled? | <input type="radio"/> Yes <input checked="" type="radio"/> No |
| Young Children? | <input type="radio"/> Yes <input checked="" type="radio"/> No |
| Households with high energy burdens? | <input type="radio"/> Yes <input checked="" type="radio"/> No |
| Other? | <input type="radio"/> Yes <input checked="" type="radio"/> No |

In Order to receive crisis assistance:

- | | |
|---|---|
| Must the household have received a shut-off notice or have a near empty tank? | <input checked="" type="radio"/> Yes <input type="radio"/> No |
| Must the household have been shut off or have an empty tank? | <input type="radio"/> Yes <input checked="" type="radio"/> No |
| Must the household have exhausted their regular heating benefit? | <input checked="" type="radio"/> Yes <input type="radio"/> No |

| | | | | | |
|--|---|--------------------------|--------|--------------------------|-------------------|
| Must renters with heating costs included in their rent have received an eviction notice ? | <input type="radio"/> Yes <input checked="" type="radio"/> No | | | | |
| Must heating/cooling be medically necessary? | <input type="radio"/> Yes <input checked="" type="radio"/> No | | | | |
| Must the household have non-working heating or cooling equipment? | <input checked="" type="radio"/> Yes <input type="radio"/> No | | | | |
| Other? | <input type="radio"/> Yes <input checked="" type="radio"/> No | | | | |
| Do you have additional / differing eligibility policies for: | | | | | |
| Renters? | <input type="radio"/> Yes <input checked="" type="radio"/> No | | | | |
| Renters living in subsidized housing? | <input type="radio"/> Yes <input checked="" type="radio"/> No | | | | |
| Renters with utilities included in the rent? | <input type="radio"/> Yes <input checked="" type="radio"/> No | | | | |
| Explanations of policies for each "yes" checked above: | | | | | |
| <p>Yes households must have received a shut off notice or have a near empty tank, as documented by the utility company / fuel supplier, to qualify the household for crisis assistance.</p> <p>Yes households must have exhausted their regular heating benefit before they can receive crisis assistance.</p> | | | | | |
| Determination of Benefits | | | | | |
| 4.8 How do you handle crisis situations? | | | | | |
| <input checked="" type="checkbox"/> | Separate component | | | | |
| <input type="checkbox"/> | Fast Track | | | | |
| <input type="checkbox"/> | Other - Describe: | | | | |
| 4.9 If you have a separate component, how do you determine crisis assistance benefits? | | | | | |
| <input checked="" type="checkbox"/> | Amount to resolve the crisis. | | | | |
| <input type="checkbox"/> | Other - Describe: | | | | |
| Crisis Requirements, 2604(c) | | | | | |
| 4.10 Do you accept applications for energy crisis assistance at sites that are geographically accessible to all households in the area to be served? | | | | | |
| <input checked="" type="radio"/> Yes <input type="radio"/> No Explain. | | | | | |
| <p>The Grand Ronde office of Social Services is handicapped accessible and is served by three bus lines. The Portland Office is also handicapped accessible and served by bus routes. Applications can also be submitted on line.</p> | | | | | |
| 4.11 Do you provide individuals who are physically disabled the means to: | | | | | |
| Submit applications for crisis benefits without leaving their homes? | | | | | |
| <input checked="" type="radio"/> Yes <input type="radio"/> No If No, explain. | | | | | |
| Travel to the sites at which applications for crisis assistance are accepted? | | | | | |
| <input checked="" type="radio"/> Yes <input type="radio"/> No If No, explain. | | | | | |
| If you answered "No" to both options in question 4.11, please explain alternative means of intake to those who are homebound or physically disabled? | | | | | |
| | | | | | |
| Benefit Levels, 2605(c)(1)(B) | | | | | |
| 4.12 Indicate the maximum benefit for each type of crisis assistance offered. | | | | | |
| Winter Crisis | \$0.00 maximum benefit | | | | |
| Summer Crisis | \$0.00 maximum benefit | | | | |
| Year-round Crisis | \$1,800.00 maximum benefit | | | | |
| 4.13 Do you provide in-kind (e.g. blankets, space heaters, fans) and/or other forms of benefits? | | | | | |
| <input type="radio"/> Yes <input checked="" type="radio"/> No If yes, Describe | | | | | |
| <p>NOTE: In regard to crisis assistance the Tribe will provide up to \$1,800 for heat system repair under crisis assistance.</p> | | | | | |
| 4.14 Do you provide for equipment repair or replacement using crisis funds? | | | | | |
| <input checked="" type="radio"/> Yes <input type="radio"/> No | | | | | |
| If you answered "Yes" to question 4.14, you must complete question 4.15. | | | | | |
| 4.15 Check appropriate boxes below to indicate type(s) of assistance provided. | | | | | |
| <input type="checkbox"/> | Winter C | <input type="checkbox"/> | Summer | <input type="checkbox"/> | Year-round Crisis |

| | risis | Crisis | |
|---|--------------------------|--------------------------|-------------------------------------|
| Heating system repair | <input type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| Heating system replacement | <input type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| Cooling system repair | <input type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| Cooling system replacement | <input type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| Wood stove purchase | <input type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| Pellet stove purchase | <input type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| Solar panel(s) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Utility poles / gas line hook-ups | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Other (Specify): | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 4.16 Do any of the utility vendors you work with enforce a moratorium on shut offs? | | | |
| <input type="radio"/> Yes <input checked="" type="radio"/> No | | | |
| If you responded "Yes" to question 4.16, you must respond to question 4.17. | | | |
| 4.17 Describe the terms of the moratorium and any special dispensation received by LIHEAP clients during or after the moratorium period. | | | |
| <p>If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.</p> | | | |

Section 5 - WEATHERIZATION ASSISTANCE

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Section 5: WEATHERIZATION ASSISTANCE

Eligibility, 2605(c)(1)(A), 2605(b)(2) - Assurance 2

5.1 Designate the income eligibility threshold used for the Weatherization component

| Add | Household Size | Eligibility Guideline | Eligibility Threshold |
|-----|---------------------|-----------------------|-----------------------|
| 1 | All Household Sizes | State Median Income | 60.00% |

5.2 Do you enter into an interagency agreement to have another government agency administer a WEATHERIZATION component? Yes No

5.3 If yes, name the agency.

5.4 Is there a separate monitoring protocol for weatherization? Yes No

WEATHERIZATION - Types of Rules

5.5 Under what rules do you administer LIHEAP weatherization? (Check only one.)

Entirely under LIHEAP (not DOE) rules

Entirely under DOE WAP (not LIHEAP) rules

Mostly under LIHEAP rules with the following DOE WAP rule(s) where LIHEAP and WAP rules differ (Check all that apply):

Income Threshold

Weatherization of entire multi-family housing structure is permitted if at least 66% of units (50% in 2- & 4-unit buildings) are eligible units or will become eligible within 180 days

Weatherize shelters temporarily housing primarily low income persons (excluding nursing homes, prisons, and similar institutional care facilities).

Other - Describe:

Mostly under DOE WAP rules, with the following LIHEAP rule(s) where LIHEAP and WAP rules differ (Check all that apply.):

Income Threshold

Weatherization not subject to DOE WAP maximum statewide average cost per dwelling unit.

Weatherization measures are not subject to DOE Savings to Investment Ratio (SIR) standards.

Other - Describe:

Eligibility, 2605(b)(5) - Assurance 5

5.6 Do you require an assets test? Yes No

5.7 Do you have additional/differing eligibility policies for :

| | |
|---------------------------------------|---|
| Renters | <input checked="" type="radio"/> Yes <input type="radio"/> No |
| Renters living in subsidized housing? | <input type="radio"/> Yes <input checked="" type="radio"/> No |

5.8 Do you give priority in eligibility to:

| | |
|---------------------------------------|---|
| Elderly? | <input type="radio"/> Yes <input checked="" type="radio"/> No |
| Disabled? | <input type="radio"/> Yes <input checked="" type="radio"/> No |
| Young Children? | <input type="radio"/> Yes <input checked="" type="radio"/> No |
| House holds with high energy burdens? | <input type="radio"/> Yes <input checked="" type="radio"/> No |
| Other? | <input type="radio"/> Yes <input checked="" type="radio"/> No |

If you selected "Yes" for any of the options in questions 5.6, 5.7, or 5.8, you must provide further explanation of these policies in the text field below.

Renters and rental property can be assisted if at least half the units of a structure are occupied by enrolled Tribal members before a multi-unit structure will be considered for assistance. (Per standing agreement with the State that we serve our own members, except on the Reservation where we serve all Native Americans.) The Tribe obtains written authorization from the landlord before weatherization work is approved and performed and the Tribe obtains assurance that (barring rent payment issues or violations of the rental agreement) the landlord expects and intends to continue renting the benefitting unit to the eligible renter for the following year.

Benefit Levels

5.9 Do you have a maximum LIHEAP weatherization benefit/expenditure per household? Yes No

5.10 If yes, what is the maximum? \$3,500

Types of Assistance, 2605(c)(1), (B) & (D)

5.11 What LIHEAP weatherization measures do you provide ? (Check all categories that apply.)

| | |
|---|---|
| <input checked="" type="checkbox"/> Weatherization needs assessments/audits | <input type="checkbox"/> Energy related roof repair |
| <input checked="" type="checkbox"/> Caulking and insulation | <input type="checkbox"/> Major appliance Repairs |
| <input checked="" type="checkbox"/> Storm windows | <input type="checkbox"/> Major appliance replacement |
| <input checked="" type="checkbox"/> Furnace/heating system modifications/ repairs | <input checked="" type="checkbox"/> Windows/sliding glass doors |
| <input checked="" type="checkbox"/> Furnace replacement | <input checked="" type="checkbox"/> Doors |
| <input checked="" type="checkbox"/> Cooling system modifications/ repairs | <input checked="" type="checkbox"/> Water Heater |
| <input type="checkbox"/> Water conservation measures | <input checked="" type="checkbox"/> Cooling system replacement |
| <input checked="" type="checkbox"/> Compact florescent light bulbs | <input type="checkbox"/> Other - Describe: |

If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.

Section 6 - Outreach, 2605(b)(3) - Assurance 3, 2605(c)(3)(A)

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Section 6: Outreach, 2605(b)(3) - Assurance 3, 2605(c)(3)(A)

6.1 Select all outreach activities that you conduct that are designed to assure that eligible households are made aware of all LIHEAP assistance available:

Place posters/flyers in local and county social service offices, offices of aging, Social Security offices, VA, etc.

Publish articles in local newspapers or broadcast media announcements.

Include inserts in energy vendor billings to inform individuals of the availability of all types of LIHEAP assistance.

Mass mailing(s) to prior-year LIHEAP recipients.

Inform low income applicants of the availability of all types of LIHEAP assistance at application intake for other low-income programs.

Execute interagency agreements with other low-income program offices to perform outreach to target groups.

Other (specify):

We provide intake service through home visits or by telephone for the physically infirm (elder and or disabled).

If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.

Section 7 - Coordination, 2605(b)(4) - Assurance 4

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Section 7: Coordination, 2605(b)(4) - Assurance 4

7.1 Describe how you will ensure that the LIHEAP program is coordinated with other programs available to low-income households (TANF, SS I, WAP, etc.).

| | |
|-------------------------------------|---|
| <input type="checkbox"/> | Joint application for multiple programs |
| <input checked="" type="checkbox"/> | Intake referrals to/from other programs |
| <input type="checkbox"/> | One - stop intake centers |
| <input type="checkbox"/> | Other - Describe: |

The Grand Ronde Tribe's LIHEAP program coordinates its activities with existing energy assistance programs occurring within Tribal departments. The Tribe coordinates its activities with existing fuel suppliers, local and regional governmental and social services agencies. In addition, the Tribe intends to create additional services to LIHEAP eligible households. The State of Oregon, Oregon Housing and Community Services Department, Oregon State Housing Department Technical Assistance training and programs, and LIHEAP application process/equipment will be used by the Grand Ronde Tribe in developing, implementing, reporting, and administering their program.

If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.

Section 8 - Agency Designation,, 2605(b)(6) - Assurance 6

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Section 8: Agency Designation, 2605(b)(6) - Assurance 6 (Required for state grantees and the Commonwealth of Puerto Rico)

8.1 How would you categorize the primary responsibility of your State agency?

| | |
|-------------------------------------|---------------------------------|
| <input type="checkbox"/> | Administration Agency |
| <input type="checkbox"/> | Commerce Agency |
| <input type="checkbox"/> | Community Services Agency |
| <input type="checkbox"/> | Energy / Environment Agency |
| <input type="checkbox"/> | Housing Agency |
| <input type="checkbox"/> | Welfare Agency |
| <input checked="" type="checkbox"/> | Other - Describe: Tribal Office |

Alternate Outreach and Intake, 2605(b)(15) - Assurance 15

If you selected "Welfare Agency" in question 8.1, you must complete questions 8.2, 8.3, and 8.4, as applicable.

8.2 How do you provide alternate outreach and intake for HEATING ASSISTANCE?

8.3 How do you provide alternate outreach and intake for COOLING ASSISTANCE?

8.4 How do you provide alternate outreach and intake for CRISIS ASSISTANCE?

| 8.5 LIHEAP Component Administration. | Heating | Cooling | Crisis | Weatherization |
|--|-------------------|----------------|-------------------|-------------------|
| 8.5a Who determines client eligibility? | Tribal Government | Non-Applicable | Tribal Government | Tribal Government |
| 8.5b Who processes benefit payments to gas and electric vendors? | Tribal Government | Non-Applicable | Tribal Government | |
| 8.5c who processes benefit payments to bulk fuel vendors? | Tribal Government | Non-Applicable | Tribal Government | |
| 8.5d Who performs installation of weatherization measures? | | | | Tribal Government |

If any of your LIHEAP components are not centrally-administered by a state agency, you must complete questions 8.6, 8.7, 8.8, and, if applicable, 8.9.

8.6 What is your process for selecting local administering agencies?

Ours are centrally-administered by a Tribal agency. So we interpret this to mean we need not answer these.

8.7 How many local administering agencies do you use? 1

8.8 Have you changed any local administering agencies in the last year?
 Yes
 No

8.9 If so, why?

- | | |
|--------------------------|--|
| <input type="checkbox"/> | Agency was in noncompliance with grantee requirements for LIHEAP - |
| <input type="checkbox"/> | Agency is under criminal investigation |
| <input type="checkbox"/> | Added agency |
| <input type="checkbox"/> | Agency closed |
| <input type="checkbox"/> | Other - describe |

If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.

Section 9 - Energy Suppliers,, 2605(b)(7) - Assurance 7

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Section 9: Energy Suppliers, 2605(b)(7) - Assurance 7

9.1 Do you make payments directly to home energy suppliers?

Heating Yes No

Cooling Yes No

Crisis Yes No

Are there exceptions? Yes No

If yes, Describe.

9.2 How do you notify the client of the amount of assistance paid?

Eligible households will receive a copy of the authorization form at the time of intake as per instructions in the operation policy. Eligible applicants are instructed at the time of intake to monitor monthly billing to ensure LIHEAP benefits are received. The authorization form will have the household name, current address, and current account number for crediting purposes. Statement of procedure to follow through with energy suppliers in the event of non-credit will be included in the information packet at the time of intake.

Notification award letters are sent once applicants are determined eligible with payment amount information so the recipient understands what to expect and to monitor bills to assure appropriate payment is credited to their account.

9.3 How do you assure that the home energy supplier will charge the eligible household, in the normal billing process, the difference between the actual cost of the home energy and the amount of the payment?

All area energy suppliers will have agreements with the Grand Ronde Tribes. All energy suppliers will charge households in the normal billing process the difference between actual cost of home energy and the amount of LIHEAP payment.

Eligible households will receive a copy of the authorization form at the time of intake as per instructions in the operation policy. Eligible applicants are instructed at the time of intake to monitor monthly billing to ensure LIHEAP benefits are received. The authorization form will have the household name, current address, and current account number for crediting purposes. Statement of procedure to follow through with energy suppliers in the event of non-credit will be included in the information packet at the time of intake.

Our program conducts periodic random calls to recipients to assure that the bills reflect accurate payment information.

9.4 How do you assure that no household receiving assistance under this title will be treated adversely because of their receipt of LIHEAP assistance?

Again, all area energy suppliers will have agreements with the Grand Ronde Tribes. All energy suppliers will charge households in the normal billing process the difference between actual cost of home energy and the amount of LIHEAP payment.

Eligible households will receive a copy of the authorization form at the time of intake as per instructions in the operation policy. Eligible applicants are instructed at the time of intake to monitor monthly billing to ensure LIHEAP benefits are received. The authorization form will have the household name, current address, and current account number for crediting purposes. Statement of procedure to follow through with energy suppliers in the event of non-credit will be included in the information packet at the time of intake.

Our program establishes relationships with local utility companies and their staff to assure quality services are provided to our members. Our staff make direct contact with utility companies to make payment commitments and assure services are maintained.

9.5. Do you make payments contingent on unregulated vendors taking appropriate measures to alleviate the energy burdens of eligible households?

Yes No

If so, describe the measures unregulated vendors may take.

If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.

Section 10 - Program, Fiscal Monitoring, and Audit, 2605(b)(10) - Assurance 10

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Section 10: Program, Fiscal Monitoring, and Audit, 2605(b)(10)

10.1. How do you ensure good fiscal accounting and tracking of LIHEAP funds?

The Grand Ronde Tribal offices use Abila MIP software system including: general ledger module, accounts payable module, and financial status and budgetary reporting module. A separate division and separate budget is set up for this program each grant year. There are separate account codes for weatherization, heating, cooling, and crisis assistance. The LIHEAP program uses an excel spreadsheet to record requested services and payments by type and to who (name, address and county). Those denied benefits (e.g. income eligibility) are also recorded (request, name, address, county). There is a separation of roles within accounting to monitor spending through budget reports, spreadsheets and approvals.

Audit Process

10.2. Is your LIHEAP program audited annually under the Single Audit Act and OMB Circular A - 133?

Yes No

10.3. Describe any audit findings rising to the level of material weakness or reportable condition cited in the A-133 audits, Grantee monitoring assessments, inspector general reviews, or other government agency reviews of the LIHEAP agency from the most recently audited fiscal year.

No Findings

| Finding | Type | Brief Summary | Resolved? | Action Taken |
|---------|------|--|-----------|--------------|
| 1 | | The Tribe's most recent audit, 2018, had no findings. The 2019 is largely completed but has not been released yet. | | |

10.4. Audits of Local Administering Agencies

What types of annual audit requirements do you have in place for local administering agencies/district offices? Select all that apply.

- Local agencies/district offices are required to have an annual audit in compliance with Single Audit Act and OMB Circular A-133
- Local agencies/district offices are required to have an annual audit (other than A-133)
- Local agencies/district offices' A-133 or other independent audits are reviewed by Grantee as part of compliance process.
- Grantee conducts fiscal and program monitoring of local agencies/district offices

Compliance Monitoring

10.5. Describe the Grantee's strategies for monitoring compliance with the Grantee's and Federal LIHEAP policies and procedures: Select all that apply

Grantee employees:

- Internal program review
- Departmental oversight
- Secondary review of invoices and payments
- Other program review mechanisms are in place. Describe:

The Tribal Social Services Department is responsible for monitoring the Tribe's LIHEAP and other energy assistance programs. The Tribe's Planning and Grants Development Department will monitor grant implementation. The Tribal Social Services Department will review a random sample of applications for correctness of eligibility determination, payment amount, vendor compliance, etc. for each type of assistance provided.

Local Administering Agencies / District Offices:

| |
|--|
| <input type="checkbox"/> On - site evaluation |
| <input type="checkbox"/> Annual program review |
| <input type="checkbox"/> Monitoring through central database |
| <input type="checkbox"/> Desk reviews |
| <input checked="" type="checkbox"/> Client File Testing / Sampling |
| <input type="checkbox"/> Other program review mechanisms are in place. Describe: |
| |
| 10.6 Explain, or attach a copy of your local agency monitoring schedule and protocol. |
| N/A |
| 10.7. Describe how you select local agencies for monitoring reviews. |
| Site Visits: N/A |
| Desk Reviews: N/A |
| 10.8. How often is each local agency monitored ? |
| N/A |
| 10.9. What is the combined error rate for eligibility determinations? OPTIONAL |
| N/A |
| 10.10. What is the combined error rate for benefit determinations? OPTIONAL |
| N/A |
| 10.11. How many local agencies are currently on corrective action plans for eligibility and/or benefit determination issues? N/A |
| 10.12. How many local agencies are currently on corrective action plans for financial accounting or administrative issues? N/A |
| If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here. |

Section 11 - Timely and Meaningful Public Participation, , 2605(b)(12) - Assurance 12, 2605(c)(2)

| | |
|--|---|
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Section 11: Timely and Meaningful Public Participation, 2605(b)(12), 2605(C)(2)

**11.1 How did you obtain input from the public in the development of your LIHEAP plan?
 Select all that apply.**

- Tribal Council meeting(s)
- Public Hearing(s)
- Draft Plan posted to website and available for comment
- Hard copy of plan is available for public view and comment
- Comments from applicants are recorded
- Request for comments on draft Plan is advertised
- Stakeholder consultation meeting(s)
- Comments are solicited during outreach activities
- Other - Describe:

Due to COVID-19 there was no booth at the Pow Wow since it was cancelled. Notice was placed in Tribal newspaper that draft plan is available at government offices.

[Note: While not a public hearing the Tribes' Legislative Action Committee sessions and Tribal Council meetings where LIHEAP is discussed are posted/advertised and recorded and televised.]

11.2 What changes did you make to your LIHEAP plan as a result of this participation?

No changes were made. While the draft plan was provided for review and notice was provided in the Tribal newspaper no comments were received on comment copies of the plan at the Social Services Department. No comments were received at the open public televised legislative action committee or at the open public televised Tribal Council meeting.

Public Hearings, 2605(a)(2) - For States and the Commonwealth of Puerto Rico Only

11.3 List the date and location(s) that you held public hearing(s) on the proposed use and distribution of your LIHEAP funds?

| | Date | Event Description |
|---|------|-------------------|
| 1 | | |

11.4. How many parties commented on your plan at the hearing(s)?

11.5 Summarize the comments you received at the hearing(s).

11.6 What changes did you make to your LIHEAP plan as a result of the comments received at the public hearing(s)?

If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.

Section 12 - Fair Hearings,2605(b)(13) - Assurance 13

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Section 12: Fair Hearings, 2605(b)(13) - Assurance 13

12.1 How many fair hearings did the grantee have in the prior Federal fiscal year? 0

12.2 How many of those fair hearings resulted in the initial decision being reversed? 0

12.3 Describe any policy and/or procedural changes made in the last Federal fiscal year as a result of fair hearings?

None.

12.4 Describe your fair hearing procedures for households whose applications are denied.

There will be an oral description of the grievance procedure during intake. The intake specialist will attach a copy of the process to the eligible household's file and will see to it that the head of household initials a copy of the grievance process.

The intake specialist will be an employee of the Tribal Social Services Department or will be under sub-contract with the Department. It will be the responsibility of the Tribal Social Services Department to monitor the actions of the intake specialists. In the event of any need for further technical assistance for the intake specialist, the Tribe is committed to immediate self-determined adjustment of training programs in order to effectively and efficiently meet all grant planning goals.

Fair administrative hearings will be provided for persons who are denied assistance or whose applications are not acted upon with reasonable promptness by the Social Services Department. Within 15 days of a written request for a hearing, the Director will attempt to resolve the situation informally. If this attempt is unsuccessful, the individual may request in writing to have a hearing with the General Manager of the Tribe, or his/her appointee.

12.5 When and how are applicants informed of these rights?

The Tribe will inform all households that they are allowed a fair administrative hearing if they are denied assistance or if their application is not acted upon in a timely manner. Notices shall be posted at all intake offices regarding hearing procedures.

12.6 Describe your fair hearing procedures for households whose applications are not acted on in a timely manner.

See 12.4 above.

12.7 When and how are applicants informed of these rights?

At the time of intake. See 12.4 above.

If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.

Section 13 - Reduction of home energy needs,2605(b)(16) - Assurance 16

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Section 13: Reduction of home energy needs, 2605(b)(16) - Assurance 16

13.1 Describe how you use LIHEAP funds to provide services that encourage and enable households to reduce their home energy needs and thereby the need for energy assistance?

At intake a brochure will be provided and explained to eligible households describing basic conservation techniques and information. Brochures will give phone numbers, web site addresses, and will indicate that power companies can be contacted to trouble shoot a basic energy problem if a household has a sudden rise in energy bills.

As part of the weatherization program a needs assessment is performed. If weatherization is needed then substantial improvements can be made (weatherization is capped at 10% of our allocation).

13.2 How do you ensure that you don't use more than 5% of your LIHEAP funds for these activities?

No funds are allocated/budgeted for reduction of energy needs.

13.3 Describe the impact of such activities on the number of households served in the previous Federal fiscal year.

Normally, households receive needs assessments as part of the weatherization projects which then improved energy use conservation and energy savings. During the provision of these services the Tribe also advises the recipient of the comparative benefit of the weatherization measures and the energy savings they provide.

13.4 Describe the level of direct benefits provided to those households in the previous Federal fiscal year.

The direct benefits from the needs assessment is part of qualifying the residence for the planned weatherization. That benefit level (as a step) is basically the same for all households served. The benefits from each measure varied per household served depending on the condition of the residence prior to this service but those benefits are part of the weatherization funding not the reduction of energy needs funding category/assurance.

13.5 How many households applied for these services? 2

13.6 How many households received these services? 2

If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.

Section 14 - Leveraging Incentive Program ,2607A

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
 ADMINISTRATION FOR CHILDREN AND FAMILIES

August 1987, revised 05/92,02/95,03/96,12/98,11/01
 OMB Clearance No.: 0970-0075
 Expiration Date: 12/31/2023

**LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP)
 MODEL PLAN
 SF - 424 - MANDATORY**

Section 14:Leveraging Incentive Program, 2607(A)

14.1 Do you plan to submit an application for the leveraging incentive program?

Yes No

14.2 Describe instructions to any third parties and/or local agencies for submitting LIHEAP leveraging resource information and retaining records.

14.3 For each type of resource and/or benefit to be leveraged in the upcoming year that will meet the requirements of 45 C.F.R. § 96.87(d)(2)(iii), describe the following:

| Resource | What is the type of resource or benefit ? | What is the source(s) of the resource ? | How will the resource be integrated and coordinated with LIHEAP? |
|----------|---|---|--|
| 1 | | | |

If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.

Section 15 - Training

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
ADMINISTRATION FOR CHILDREN AND FAMILIES

August 1987, revised 05/92,02/95,03/96,12/98,11/01
OMB Clearance No.: 0970-0075
Expiration Date: 12/31/2023

LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP) MODEL PLAN SF - 424 - MANDATORY

Section 15: Training

15.1 Describe the training you provide for each of the following groups:

a. Grantee Staff:

Formal training on grantee policies and procedures

How often?

Annually

Biannually

As needed

Other - Describe:

Employees are provided with policy manual

Other-Describe:

When ACF sends out notices of changes or sends out webinar notices those are provided to the applicable staff (e.g. general intake and weatherization staff).

b. Local Agencies:

Formal training conference

How often?

Annually

Biannually

As needed

Other - Describe:

On-site training

How often?

Annually

Biannually

As needed

Other - Describe:

Employees are provided with policy manual

Other - Describe

c. Vendors

Formal training conference

How often?

Annually

Biannually

As needed

Other - Describe:

Policies communicated through vendor agreements

| | |
|--|--|
| <input type="checkbox"/> Policies are outlined in a vendor manual | |
| <input type="checkbox"/> Other - Describe: | |
| 15.2 Does your training program address fraud reporting and prevention? <input checked="" type="radio"/> Yes <input type="radio"/> No | |
| If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here. | |

Section 16 - Performance Goals and Measures, 2605(b)

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
ADMINISTRATION FOR CHILDREN AND FAMILIES

August 1987, revised 05/92,02/95,03/96,12/98,11/01
OMB Clearance No.: 0970-0075
Expiration Date: 12/31/2023

**LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP)
MODEL PLAN
SF - 424 - MANDATORY**

Section 16: Performance Goals and Measures, 2605(b) - Required for States Only

16.1 Describe your progress toward meeting the data collection and reporting requirements of the four required LIHEAP performance measures. Include timeframes and plans for meeting these requirements and what you believe will be accomplished in the coming federal fiscal year.

[Not required for Tribal programs.]

If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.

Section 17 - Program Integrity, 2605(b)(10)

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
ADMINISTRATION FOR CHILDREN AND FAMILIES

August 1987, revised 05/92,02/95,03/96,12/98,11/01
OMB Clearance No.: 0970-0075
Expiration Date: 12/31/2023

**LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP)
MODEL PLAN
SF - 424 - MANDATORY**

Section 17: Program Integrity, 2605(b)(10)

17.1 Fraud Reporting Mechanisms

a. Describe all mechanisms available to the public for reporting cases of suspected waste, fraud, and abuse. Select all that apply.

- Online Fraud Reporting
- Dedicated Fraud Reporting Hotline
- Report directly to local agency/district office or Grantee office
- Report to State Inspector General or Attorney General
- Forms and procedures in place for local agencies/district offices and vendors to report fraud, waste, and abuse
- Other - Describe:

There is a public review, comment and participation process for the annual plan and application and notices in the Tribal newspaper on the plan and during the year on program availability. There is an appeals process for those denied service or the level of service they wanted. There is no hotline to call here regarding fraud, waste, or abuse. Members have no difficulty knowing who to call at the Tribe to complain. They call Tribal Administration or Tribal Council if they are not satisfied with programs or if they want to report suspected fraud, waste or abuse.

b. Describe strategies in place for advertising the above-referenced resources. Select all that apply

- Printed outreach materials
- Addressed on LIHEAP application
- Website
- Other - Describe:

17.2. Identification Documentation Requirements

a. Indicate which of the following forms of identification are required or requested to be collected from LIHEAP applicants or their household members.

| Type of Identification Collected | Collected from Whom? | | |
|---|--|------------------------------------|--|
| | Applicant Only | All Adults in Household | All Household Members |
| Social Security Card is photocopied and retained | <input type="checkbox"/> Required | <input type="checkbox"/> Required | <input checked="" type="checkbox"/> Required |
| | <input type="checkbox"/> Requested | <input type="checkbox"/> Requested | <input type="checkbox"/> Requested |
| Social Security Number (Without actual Card) | <input type="checkbox"/> Required | <input type="checkbox"/> Required | <input type="checkbox"/> Required |
| | <input type="checkbox"/> Requested | <input type="checkbox"/> Requested | <input type="checkbox"/> Requested |
| Government-issued identification card (i.e.: driver's license, state ID, Tribal ID, passport, etc.) | <input checked="" type="checkbox"/> Required | <input type="checkbox"/> Required | <input type="checkbox"/> Required |
| | <input type="checkbox"/> Requested | <input type="checkbox"/> Requested | <input type="checkbox"/> Requested |

| | Other | Applicant Only Required | Applicant Only Requested | All Adults in Household Required | All Adults in Household Requested | All Household Members Required | All Household Members Requested |
|--|-------|--------------------------|--------------------------|----------------------------------|-----------------------------------|--------------------------------|---------------------------------|
| 1 | | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| <p>b. Describe any exceptions to the above policies.</p> <p>We require SSN card for all household members, however if person doesn't have it we request a SNAP report. SNAP reports list all persons in the home and all SSN's.</p> <p>Tribal ID of applicant required unless the applicant is not tribal (has tribal member child in the home), then we request the child's Tribal ID from applicant or we request a CIB from the Tribe's Member Services Office.</p> <p>If documentation is already on file from the previous year we do not make them submit it again (except if needed, such as for a name change).</p> | | | | | | | |
| 17.3 Identification Verification | | | | | | | |
| Describe what methods are used to verify the authenticity of identification documents provided by clients or household members. Select all that apply | | | | | | | |
| <input checked="" type="checkbox"/> Verify SSNs with Social Security Administration | | | | | | | |
| <input type="checkbox"/> Match SSNs with death records from Social Security Administration or state agency | | | | | | | |
| <input checked="" type="checkbox"/> Match SSNs with state eligibility/case management system (e.g., SNAP, TANF) | | | | | | | |
| <input type="checkbox"/> Match with state Department of Labor system | | | | | | | |
| <input type="checkbox"/> Match with state and/or federal corrections system | | | | | | | |
| <input checked="" type="checkbox"/> Match with state child support system | | | | | | | |
| <input type="checkbox"/> Verification using private software (e.g., The Work Number) | | | | | | | |
| <input type="checkbox"/> In-person certification by staff (for tribal grantees only) | | | | | | | |
| <input type="checkbox"/> Match SSN/Tribal ID number with tribal database or enrollment records (for tribal grantees only) | | | | | | | |
| <input checked="" type="checkbox"/> Other - Describe: <p>The client brings documents to the intake interview and we use that for systems information including Social Security award letters/notifications, SNAP print-out (program requests from SNAP), and child support letters/printouts.</p> | | | | | | | |
| 17.4. Citizenship/Legal Residency Verification | | | | | | | |
| What are your procedures for ensuring that household members are U.S. citizens or aliens who are qualified to receive LIHEAP benefits? Select all that apply. | | | | | | | |
| <input type="checkbox"/> Clients sign an attestation of citizenship or legal residency | | | | | | | |
| <input type="checkbox"/> Client's submission of Social Security cards is accepted as proof of legal residency | | | | | | | |
| <input type="checkbox"/> Noncitizens must provide documentation of immigration status | | | | | | | |
| <input type="checkbox"/> Citizens must provide a copy of their birth certificate, naturalization papers, or passport | | | | | | | |
| <input type="checkbox"/> Noncitizens are verified through the SAVE system | | | | | | | |
| <input checked="" type="checkbox"/> Tribal members are verified through Tribal enrollment records/Tribal ID card | | | | | | | |
| <input checked="" type="checkbox"/> Other - Describe: <p>Eligible residency of US Citizens also applies, the residence needs to be within the seven county service area (we use billing statement from energy company).</p> | | | | | | | |
| 17.5. Income Verification | | | | | | | |
| What methods does your agency utilize to verify household income? Select all that apply. | | | | | | | |
| <input checked="" type="checkbox"/> Require documentation of income for all adult household members | | | | | | | |
| <input checked="" type="checkbox"/> Pay stubs | | | | | | | |
| <input checked="" type="checkbox"/> Social Security award letters | | | | | | | |
| <input checked="" type="checkbox"/> Bank statements | | | | | | | |
| <input checked="" type="checkbox"/> Tax statements | | | | | | | |
| <input checked="" type="checkbox"/> Zero-income statements | | | | | | | |
| <input checked="" type="checkbox"/> Unemployment Insurance letters | | | | | | | |

| |
|---|
| <input checked="" type="checkbox"/> Other - Describe: |
| The Tribe doesn't currently use State employment directories but we do have contracted hours (not through LIHEAP) here by a State TAN F worker and that provides us some access to other records and we access SNAP/Food stamp records. We also access Tribal employee rosters. |
| <input checked="" type="checkbox"/> Computer data matches: |
| <input checked="" type="checkbox"/> Income information matched against state computer system (e.g., SNAP, TANF) |
| <input checked="" type="checkbox"/> Proof of unemployment benefits verified with state Department of Labor |
| <input checked="" type="checkbox"/> Social Security income verified with SSA |
| <input type="checkbox"/> Utilize state directory of new hires |
| <input checked="" type="checkbox"/> Other - Describe: |
| State computer information - as a print-out that we request. State DOL proof of unemployment benefits as a print-out the client submits. Social Security income as a copy of current award letter the client provides. |
| 17.6. Protection of Privacy and Confidentiality |
| Describe the financial and operating controls in place to protect client information against improper use or disclosure. Select all that apply. |
| <input checked="" type="checkbox"/> Policy in place prohibiting release of information without written consent |
| <input checked="" type="checkbox"/> Grantee LIHEAP database includes privacy/confidentiality safeguards |
| <input checked="" type="checkbox"/> Employee training on confidentiality for: |
| <input checked="" type="checkbox"/> Grantee employees |
| <input type="checkbox"/> Local agencies/district offices |
| <input checked="" type="checkbox"/> Employees must sign confidentiality agreement |
| <input checked="" type="checkbox"/> Grantee employees |
| <input type="checkbox"/> Local agencies/district offices |
| <input checked="" type="checkbox"/> Physical files are stored in a secure location |
| <input type="checkbox"/> Other - Describe: |
| 17.7. Verifying the Authenticity |
| What policies are in place for verifying vendor authenticity? Select all that apply. |
| <input type="checkbox"/> All vendors must register with the State/Tribe. |
| <input checked="" type="checkbox"/> All vendors must supply a valid SSN or TIN/W-9 form |
| <input checked="" type="checkbox"/> Vendors are verified through energy bills provided by the household |
| <input type="checkbox"/> Grantee and/or local agencies/district offices perform physical monitoring of vendors |
| <input checked="" type="checkbox"/> Other - Describe and note any exceptions to policies above: |
| Most all the electric and natural gas companies are those we regularly work with already. For new companies (perhaps propane) we do require a new W-9 form from them and a tax ID number. |
| 17.8. Benefits Policy - Gas and Electric Utilities |
| What policies are in place to protect against fraud when making benefit payments to gas and electric utilities on behalf of clients? Select all that apply. |
| <input checked="" type="checkbox"/> Applicants required to submit proof of physical residency |
| <input checked="" type="checkbox"/> Applicants must submit current utility bill |
| <input checked="" type="checkbox"/> Data exchange with utilities that verifies: |
| <input checked="" type="checkbox"/> Account ownership |
| <input type="checkbox"/> Consumption |
| <input type="checkbox"/> Balances |
| <input checked="" type="checkbox"/> Payment history |
| <input checked="" type="checkbox"/> Account is properly credited with benefit |
| <input type="checkbox"/> Other - Describe: |

| | |
|--|---|
| <input type="checkbox"/> | Centralized computer system/database tracks payments to all utilities |
| <input type="checkbox"/> | Centralized computer system automatically generates benefit level |
| <input type="checkbox"/> | Separation of duties between intake and payment approval |
| <input checked="" type="checkbox"/> | Payments coordinated among other energy assistance programs to avoid duplication of payments |
| <input type="checkbox"/> | Payments to utilities and invoices from utilities are reviewed for accuracy |
| <input type="checkbox"/> | Computer databases are periodically reviewed to verify accuracy and timeliness of payments made to utilities |
| <input type="checkbox"/> | Direct payment to households are made in limited cases only |
| <input type="checkbox"/> | Procedures are in place to require prompt refunds from utilities in cases of account closure |
| <input type="checkbox"/> | Vendor agreements specify requirements selected above, and provide enforcement mechanism |
| <input checked="" type="checkbox"/> | Other - Describe: We do verify that households have not received LIHEAP from another Agency for the current budget year. |
| 17.9. Benefits Policy - Bulk Fuel Vendors | |
| What procedures are in place for averting fraud and improper payments when dealing with bulk fuel suppliers of heating oil, propane, wood, and other bulk fuel vendors? Select all that apply. | |
| <input type="checkbox"/> | Vendors are checked against an approved vendors list |
| <input type="checkbox"/> | Centralized computer system/database is used to track payments to all vendors |
| <input type="checkbox"/> | Clients are relied on for reports of non-delivery or partial delivery |
| <input type="checkbox"/> | Two-party checks are issued naming client and vendor |
| <input type="checkbox"/> | Direct payment to households are made in limited cases only |
| <input checked="" type="checkbox"/> | Vendors are only paid once they provide a delivery receipt signed by the client |
| <input type="checkbox"/> | Conduct monitoring of bulk fuel vendors |
| <input type="checkbox"/> | Bulk fuel vendors are required to submit reports to the Grantee |
| <input type="checkbox"/> | Vendor agreements specify requirements selected above, and provide enforcement mechanism |
| <input checked="" type="checkbox"/> | Other - Describe: This would be a LIHEAP Wood Delivery Contract showing the amount of cords of wood and the client signs off that they received it and the vendor then brings it in for payment. |
| 17.10. Investigations and Prosecutions | |
| Describe the Grantee's procedures for investigating and prosecuting reports of fraud, and any sanctions placed on clients/staff/vendors found to have committed fraud. Select all that apply. | |
| <input type="checkbox"/> | Refer to state Inspector General |
| <input checked="" type="checkbox"/> | Refer to local prosecutor or state Attorney General |
| <input type="checkbox"/> | Refer to US DHHS Inspector General (including referral to OIG hotline) |
| <input type="checkbox"/> | Local agencies/district offices or Grantee conduct investigation of fraud complaints from public |
| <input type="checkbox"/> | Grantee attempts collection of improper payments. If so, describe the recoupment process |
| <input type="checkbox"/> | Clients found to have committed fraud are banned from LIHEAP assistance. For how long is a household banned? |
| <input type="checkbox"/> | Contracts with local agencies require that employees found to have committed fraud are reprimanded and/or terminated |
| <input type="checkbox"/> | Vendors found to have committed fraud may no longer participate in LIHEAP |
| <input type="checkbox"/> | Other - Describe: This has not happened yet in our ten plus years of operation. |
| If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here. | |

Section 18: Certification Regarding Debarment, Suspension, and Other Responsibility Matters

Certification Regarding Debarment, Suspension, and Other Responsibility Matters--Primary Covered Transactions

Instructions for Certification

1. By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.

2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.

3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

4. The prospective primary participant shall provide immediate written notice to the department or agency to which this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

5. The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.

6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.

7. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or

voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.

9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

Certification Regarding Debarment, Suspension, and Other Responsibility Matters--Primary Covered Transactions

(1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any Federal department or agency;

(b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

(2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transactions

Instructions for Certification

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.

2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later

determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or had become erroneous by reason of changed circumstances.

4. The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meaning set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.

5. The prospective lower tier participant agrees by submitting this proposal that, [[Page 33043]] should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

6. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from covered transactions, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.

8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

Certification Regarding Debarment, Suspension, Ineligibility an Voluntary Exclusion--Lower Tier Covered Transactions

(1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

(2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

By checking this box, the prospective primary participant is providing the certification set out above.

Section 19: Certification Regarding Drug-Free Workplace Requirements

Section 19: Certification Regarding Drug-Free Workplace Requirements

This certification is required by the regulations implementing the Drug-Free Workplace Act of 1988: 45 CFR Part 76, Subpart, F. Sections 76.630(c) and (d)(2) and 76.645(a)(1) and (b) provide that a Federal agency may designate a central receipt point for STATE-WIDE AND STATE AGENCY-WIDE certifications, and for notification of criminal drug convictions. For the Department of Health and Human Services, the central point is: Division of Grants Management and Oversight, Office of Management and Acquisition, Department of Health and Human Services, Room 517-D, 200 Independence Avenue, SW Washington, DC 20201.

Certification Regarding Drug-Free Workplace Requirements (Instructions for Certification)

1. By signing and/or submitting this application or grant agreement, the grantee is providing the certification set out below.
2. The certification set out below is a material representation of fact upon which reliance is placed when the agency awards the grant. If it is later determined that the grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.
3. For grantees other than individuals, Alternate I applies.
4. For grantees who are individuals, Alternate II applies.
5. Workplaces under grants, for grantees other than individuals, need not be identified on the certification. If known, they may be identified in the grant application. If the grantee does not identify the workplaces at the time of application, or upon award, if there is no application, the grantee must keep the identity of the workplace(s) on file in its office and make the information available for Federal inspection. Failure to identify all known workplaces constitutes a violation of the grantee's drug-free workplace requirements.
6. Workplace identifications must include the actual address of buildings (or parts of buildings) or other sites where work under the grant takes place. Categorical descriptions may be used (e.g., all vehicles of a mass transit authority or State highway department while in operation, State employees in each local unemployment office, performers in concert halls or radio studios).
7. If the workplace identified to the agency changes during the performance of the grant, the grantee shall inform the agency of the change(s), if it previously identified the workplaces in question (see paragraph five).
8. Definitions of terms in the Nonprocurement Suspension and Debarment common rule and Drug-Free Workplace common rule apply to this certification. Grantees' attention is called, in particular, to the following definitions from these rules:

Controlled substance means a controlled substance in Schedules I through V of the Controlled Substances Act (21 U.S.C. 812) and as further defined by regulation (21 CFR 1308.11 through 1308.15);

Conviction means a finding of guilt (including a plea of nolo contendere) or imposition of sentence, or both, by any judicial body charged with the responsibility to determine violations of the Federal or State criminal drug statutes;

Criminal drug statute means a Federal or non-Federal criminal statute involving the manufacture, distribution, dispensing, use, or possession of any controlled substance;

Employee means the employee of a grantee directly engaged in the performance of work under a grant, including: (i) All direct charge employees; (ii) All indirect charge employees unless their impact or involvement is insignificant to the performance of the grant; and, (iii) Temporary personnel and consultants who are directly engaged in the performance of work under the grant and who are on the grantee's payroll. This definition does not include workers not on the payroll of the grantee (e.g., volunteers, even if used to meet a matching requirement; consultants or independent contractors not on the grantee's payroll; or employees of subrecipients or subcontractors in covered workplaces).

Certification Regarding Drug-Free Workplace Requirements

Alternate I. (Grantees Other Than Individuals)

The grantee certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an ongoing drug-free awareness program to inform employees about --

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will --

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency in writing, within ten calendar days after receiving notice under paragraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification

number(s) of each affected grant;
 (f) Taking one of the following actions, within 30 calendar days of receiving notice under paragraph (d)(2), with respect to any employee who is so convicted -(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
 (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
 (g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f).
 (B) The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

| | | |
|--|--------------------------|---------------------------------|
| 9615 Grand Ronde Road * Address Line 1 | | |
| Address Line 2 | | |
| Address Line 3 | | |
| Grand Ronde * City | Oregon * State | 97347-9712 * Zip Code |

Check if there are workplaces on file that are not identified here.

Alternate II. (Grantees Who Are Individuals)

(a) The grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant;

(b) If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, he or she will report the conviction, in writing, within 10 calendar days of the conviction, to every grant officer or other designee, unless the Federal agency designates a central point for the receipt of such notices. When notice is made to such a central point, it shall include the identification number(s) of each affected grant.

[55 FR 21690, 21702, May 25, 1990]

By checking this box, the prospective primary participant is providing the certification set out above.

Section 20: Certification Regarding Lobbying

Section 20: Certification Regarding Lobbying

The submitter of this application certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance

The undersigned states, to the best of his or her knowledge and belief, that:

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

By checking this box, the prospective primary participant is providing the certification set out above.

Assurances

Assurances

(1) use the funds available under this title to--

(A) conduct outreach activities and provide assistance to low income households in meeting their home energy costs, particularly those with the lowest incomes that pay a high proportion of household income for home energy, consistent with paragraph (5);

(B) intervene in energy crisis situations;

(C) provide low-cost residential weatherization and other cost-effective energy-related home repair;and

(D)plan, develop, and administer the State's program under this title including leveraging programs, and the State agrees not to use such funds for any purposes other than those specified in this title;

(2) make payments under this title only with respect to--

(A) households in which one or more individuals are receiving--

(i)assistance under the State program funded under part A of title IV of the Social Security Act;

(ii) supplemental security income payments under title XVI of the Social Security Act;

(iii) food stamps under the Food Stamp Act of 1977; or

(iv) payments under section 415, 521, 541, or 542 of title 38, United States Code, or under section 306 of the Veterans' and Survivors' Pension Improvement Act of 1978; or

(B) households with incomes which do not exceed the greater of -

(i) an amount equal to 150 percent of the poverty level for such State; or

(ii) an amount equal to 60 percent of the State median income;

(except that a State may not exclude a household from eligibility in a fiscal year solely on the basis of household income if such income is less than 110 percent of the poverty level for such State, but the State may give priority to those households with the highest home energy costs or needs in relation to household income.

(3) conduct outreach activities designed to assure that eligible households, especially households with elderly individuals or disabled individuals, or both, and households with high home energy burdens, are made aware of the assistance available under this title, and any similar energy-related assistance available under subtitle B of title VI (relating to community services block grant program) or under any other provision of law which carries out programs which were administered under the Economic Opportunity Act of 1964 before the date of the enactment of this Act;

(4) coordinate its activities under this title with similar and related programs administered by the Federal Government and such State, particularly low-income

energy-related programs under subtitle B of title VI (relating to community services block grant program), under the supplemental security income program, under part A of title IV of the Social Security Act, under title XX of the Social Security Act, under the low-income weatherization assistance program under title IV of the Energy Conservation and Production Act, or under any other provision of law which carries out programs which were administered under the Economic Opportunity Act of 1964 before the date of the enactment of this Act;

(5) provide, in a timely manner, that the highest level of assistance will be furnished to those households which have the lowest incomes and the highest energy costs or needs in relation to income, taking into account family size, except that the State may not differentiate in implementing this section between the households described in clauses 2(A) and 2(B) of this subsection;

(6) to the extent it is necessary to designate local administrative agencies in order to carry out the purposes of this title, to give special consideration, in the designation of such agencies, to any local public or private nonprofit agency which was receiving Federal funds under any low-income energy assistance program or weatherization program under the Economic Opportunity Act of 1964 or any other provision of law on the day before the date of the enactment of this Act, except that -

(A) the State shall, before giving such special consideration, determine that the agency involved meets program and fiscal requirements established by the State; and

(B) if there is no such agency because of any change in the assistance furnished to programs for economically disadvantaged persons, then the State shall give special consideration in the designation of local administrative agencies to any successor agency which is operated in substantially the same manner as the predecessor agency which did receive funds for the fiscal year preceding the fiscal year for which the determination is made;

(7) if the State chooses to pay home energy suppliers directly, establish procedures to --

(A) notify each participating household of the amount of assistance paid on its behalf;

(B) assure that the home energy supplier will charge the eligible household, in the normal billing process, the difference between the actual cost of the home energy and the amount of the payment made by the State under this title;

(C) assure that the home energy supplier will provide assurances that any agreement entered into with a home energy supplier under this paragraph will contain provisions to assure that no household receiving assistance under this title will be treated adversely because of such assistance under applicable provisions of State law or public regulatory requirements; and

(D) ensure that the provision of vendor payments remains at the option of the State in consultation with local grantees and may be contingent on unregulated vendors taking appropriate measures to alleviate the energy burdens of eligible households, including providing for agreements between suppliers and individuals eligible for benefits under this Act that seek to reduce home energy costs, minimize the risks of home energy crisis, and encourage regular payments by individuals receiving financial assistance for home energy costs;

(8) provide assurances that,

(A) the State will not exclude households described in clause (2)(B) of this subsection from receiving home energy assistance benefits under clause (2), and

(B) the State will treat owners and renters equitably under the program assisted under this title;

(9) provide that--

(A) the State may use for planning and administering the use of funds under this title an amount not to exceed 10 percent of the funds payable to such State under this title for a fiscal year; and

(B) the State will pay from non-Federal sources the remaining costs of planning and administering the program assisted under this title and will not use Federal funds for such remaining cost (except for the costs of the activities described in paragraph (16));

(10) provide that such fiscal control and fund accounting procedures will be established as may be necessary to assure the proper disbursement of and accounting for Federal funds paid to the State under this title, including procedures for monitoring the assistance provided under this title, and provide that the State will comply with the provisions of chapter 75 of title 31, United States Code (commonly known as the "Single Audit Act");

(11) permit and cooperate with Federal investigations undertaken in accordance with section 2608;

(12) provide for timely and meaningful public participation in the development of the plan described in subsection (c);

(13) provide an opportunity for a fair administrative hearing to individuals whose claims for assistance under the plan described in subsection (c) are denied or are not acted upon with reasonable promptness; and

(14) cooperate with the Secretary with respect to data collecting and reporting under section 2610.

(15) * beginning in fiscal year 1992, provide, in addition to such services as may be offered by State Departments of Public Welfare at the local level, outreach and intake functions for crisis situations and heating and cooling assistance that is administered by additional State and local governmental entities or community-based organizations (such as community action agencies, area agencies on aging and not-for-profit neighborhood-based organizations), and in States where such organizations do not administer functions as of September 30, 1991, preference in awarding grants or contracts for intake services shall be provided to those agencies that administer the low-income weatherization or energy crisis intervention programs.

*** This assurance is applicable only to States, and to territories whose annual regular LIHEAP allotments exceed \$200,000. Neither territories with annual allotments of \$200,000 or less nor Indian tribes/tribal organizations are subject to Assurance 15.**

(16) use up to 5 percent of such funds, at its option, to provide services that encourage and enable households to reduce their home energy needs and

thereby the need for energy assistance, including needs assessments, counseling, and assistance with energy vendors, and report to the Secretary concerning the impact of such activities on the number of households served, the level of direct benefits provided to those households, and the number of households that remain unserved.

Plan Attachments

| PLAN ATTACHMENTS |
|---|
| The following documents must be attached to this application |
| <ul style="list-style-type: none">• Delegation Letter is required if someone other than the Governor or Chairman Certified this Report. |
| <ul style="list-style-type: none">• Heating component benefit matrix, if applicable |
| <ul style="list-style-type: none">• Cooling component benefit matrix, if applicable |
| <ul style="list-style-type: none">• Minutes, notes, or transcripts of public hearing(s). |