

**LOW INCOME HOME ENERGY ASSISTANCE PROGRAM (LIHEAP)**

**ABBREVIATED MODEL PLAN**

**PUBLIC LAW 97-35, AS AMENDED**

**FISCAL YEAR (FY) 2013-14**

**GRANTEE: Indiana Housing and Community Development Authority**

**EIN: 35-1485172**

**ADDRESS: 30 S. Meridian Street, Suite 1000, Indianapolis, IN 46204**

**NAME OF LIHEAP COORDINATOR:  
Taura Edwards, Community Programs Manager**

**EMAIL: taedwards@ihcda.in.gov**

**TELEPHONE: (317) 234-5825 FAX: (317) 232-7778**

**LAST DETAILED MODEL PLAN FILED: FY2012-2014 on 9/1/2011**

**PLEASE CHECK ONE: TRIBE \_\_\_\_\_ STATE X INSULAR AREA \_\_\_\_\_**

**Department of Health and Human Services  
Administration for Children and Families  
Office of Community Services  
Washington, D.C. 20447**

**August 1987, revised 05/92, 02/95, 03/96, 12/98, 11/01**

**OMB Approval No. 0970-0075, Expiration Date: 04/30/2014**

**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 a grantee is not required to use the detailed model plan. Public reporting burden for this collection of information is estimated to average 20 minutes 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.

**STATE OF INDIANA**

**INDIANA HOUSING and COMMUNITY DEVELOPMENT AUTHORITY  
Federal Fiscal Year 2012  
LOW-INCOME HOME ENERGY ASSISTANCE PROGRAM  
STATE PLAN**

**GRANTEE ADDRESS:**

**Mr. J. Jacob Sipe, Executive Director**  
Indiana Housing and Community Development Authority  
30 S. Meridian Street, Suite 1000  
Indianapolis, Indiana 46204  
Phone: (317) 234-3873

**UPDATED CONTACT PERSON:**

**Ms. Taura Edwards, Community Programs Manager**  
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Assurances

The Indiana Housing and Community Development Authority agrees to:  
(Grantee Name)

(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 vendored 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 not transferred pursuant to section 2604(f) for use under another block grant; 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.

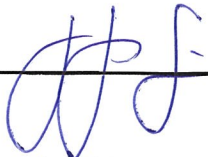
(15)\* beginning in fiscal year 1992, provide, in addition to such services as may be offered by State Departments of Public Welfare at the local level, outreach and intake functions for crisis situations and heating and cooling assistance that is administered by additional State and local governmental 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. Territories with annual allotments of \$200,000 or less and Indian tribes/tribal organizations are not 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.

Certification to the Assurances: As Chief Executive Officer, I agree to comply with the sixteen assurances contained in Title XXVI of the Omnibus Budget Reconciliation Act of 1981, as amended.\* By signing these assurances, I also agree to abide by the standard assurances on lobbying, debarment and suspension, and a drug-free workplace.

Signature of the Tribal or Board Chairperson or Chief Executive Officer of the State or Territory.\*\*

Signature:  \_\_\_\_\_

Title: Executive Director

Date: 8-26-13 \_\_\_\_\_

**\* Indian tribes/tribal organizations, and territories with annual regular LIHEAP allotments of \$200,000 or less, are not subject to assurance 15, and thus must only certify to 15 assurances.**

**\*\* If a person other than the Chief Executive Officer of the State or territory, or Tribal Chairperson or Board Chairperson of a tribal organization, is signing the certification to the assurances, a letter must be submitted delegating such authority. (PLEASE ATTACH DELEGATION of AUTHORITY.) The delegation must include authority to sign the assurances, not just to administer the program.**

**\*\*\* HHS needs the EIN (Entity Identification Number) of the State, territory or Tribal agency that is to receive the grant funds before it can issue the grant.**

In the above assurances which are quoted from the law, "State" means the 50 States, the District of Columbia, an Indian Tribe or Tribal Organization, or a Territory; "title" of the Act refers to Title XXVI of the Omnibus Budget Reconciliation Act of 1981 (OBRA), as amended, the "Low Income Home Energy Assistance Act"; "section" means Section 2605 of OBRA; and, "subsection" refers to Section 2605(b) of OBRA.

## Modified LIHEAP FY 2014 Application

Please list all changes made from your most recent detailed plan.

### 2605(a) Use of Funds 2605(b)(1)

→ Please 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.)

<u>Use of Funds</u>	<u>Dates of Operation</u>
<input checked="" type="checkbox"/> heating assistance	November 1 to May 16
<input checked="" type="checkbox"/> cooling assistance	June 9 to August 15
<input checked="" type="checkbox"/> crisis assistance	November 1 to May 16
<input checked="" type="checkbox"/> weatherization assistance	October 1 to September 30

Heating assistance will be extended through September 30, in lieu of summer cooling assistance, if either of the following conditions exists on May 15:

1. a significant number of agencies have not obligated their heating assistance funds and have the administrative capacity to continue conducting client eligibility for those clients awaiting heating assistance
2. a significant number of agencies have extensive waiting lists of clients who have not been served with heating assistance, and those agencies have the administrative capacity to continue conducting client eligibility for those clients awaiting heating assistance

### 2605(b)(5) Benefit Levels 2605(c)(1)(B)

→ Describe how you will assure that the highest benefits will go to households with the lowest incomes and the highest energy costs or needs in relation to income, taking into account family size. Please describe benefit levels or attach a copy of your payment matrix.

### Categorical Requirements and Cooling Benefits

If the conditions listed in Sections 2605 (a) and (b) "Use of Funds) do not exist on May 16, Indiana will use those remaining funds to administer a summer cool program. The program will continue to serve households at or below 150 percent of poverty, based on the family size. All financially eligible households qualify to receive an electric benefit. IHCDA gives priority to clients who have received a winter benefit by automatically crediting their electric bills on record. Any additional funds are then allocated to walk-in clients. The total value of the benefit cannot exceed \$150.



Financially eligible households with at least one elderly individual, disabled individual, or with a child under 6 are eligible for:

- A room air conditioner (if medically necessary); and,
- A payment to their electric utility company not to exceed \$150.

**2605(b)(6) Agency Designation**

The state or tribe administers LIHEAP through the following local agencies:

- county welfare offices
- community action agencies (weatherization component only)
- community action agencies (heating, cooling or crisis)
- charitable organizations
- not applicable (i.e. state energy office)
- tribal office
- other, describe:

→ Have you changed local administering agencies from last year?  Yes  No

If Yes, please describe how you selected them.

→ What components are affected by the change? N/A

**2605(a)(2) Public Hearings**

→ Did you conduct public hearings on the proposed use and distribution of your LIHEAP funds? When and where?  Yes  No

The LIHEAP State Plan was published on the IHCD website on Thursday, August 1, 2013 and left available for ten days for public comments. The public comment period closed on Monday, August 12, 2013 at 5:00 pm/EST. The public hearing was on Tuesday, August 13, 2013 at:

Indiana Housing and Community Development Authority  
30 South Meridian Street, Suite 1000  
Indianapolis, IN 46204

The hearing was held from 10am to 11pm in Training Rooms 2 and 3 of the agency's offices.

Income estimates in determining eligibility:

2014 poverty level 150%

**OR**

FY 2014 median income \_\_\_\_\_%

Please describe how you obtained public participation in the development of your 2013-14 plan. (For States, please also provide information on your public hearings.):

To obtain public participation, the state solicited feedback regarding current program policies and procedures from local service providers. The information was analyzed and discussed at the 2013 Spring Recap Meeting. Additional information was distributed and solicited from the Community Action Network's EAP Policy Council as well as distributed at the Indiana Community Action Association's monthly board meetings. Final determinations were made by the state office and listed in the abbreviated state plan. The abbreviated state plan was listed for public comment via email, public notice, and the agency's website. Finally, the agency held a public hearing for additional comments from the public.

Date Carryover and Reallotment Report submitted: 8/1/13

## **APPENDIX A: CERTIFICATION REGARDING DRUG-FREE WORKPLACES**

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 STATEWIDE 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.

- 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 sub-recipients or subcontractors in covered workplaces).

#### Alternate I. (Grantees Other Than Individuals)

- 1) The grantee certifies that it will or will continue to provide a drug-free workplace by:
- 2) 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;
- 3) Establishing an ongoing drug-free awareness program to inform employees about--
  - The dangers of drug abuse in the workplace;
  - The grantee's policy of maintaining a drug-free workplace;
  - Any available drug counseling, rehabilitation, and employee assistance programs; and
  - The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
- 4) 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);

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

- Abide by the terms of the statement; and
- 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;

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;

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;

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

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;

Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f).

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

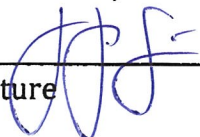
Alternate II. (Grantees Who Are Individuals)

(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]

Signature



Date

5-26-12

J. Jacob Sipe, Executive Director  
Indiana Housing and Community Development Authority

**APPENDIX B: CERTIFICATION REGARDING ENVIRONMENTAL TOBACCO SMOKE**

Public Law 103227, Part C Environmental Tobacco Smoke, also known as the Pro

Children Act of 1994, requires that smoking not be permitted in any portion of any indoor routinely owned or leased or contracted for by an entity and used routinely or regularly for provision of health, day care, education, or library services to children under the age of 18, if the services are funded by Federal programs either directly or through State or local governments, by Federal grant, contract, loan, or loan guarantee. The law does not apply to children's services provided in private residences, facilities funded solely by Medicare or Medicaid funds, and portions of facilities used for inpatient drug or alcohol treatment. Failure to comply with the provisions of the law may result in the imposition of a civil monetary penalty of up to \$1000 per day and/or the imposition of an administrative compliance order on the responsible entity. By signing and submitting this application the applicant/grantee certifies that it will comply with the requirements of the Act.

The applicant/grantee further agrees that it will require the language of this certification be included in any sub-awards which contain provisions for the children's services and that all sub-grantees shall certify accordingly.

\_\_\_\_\_  
Signature

J. Jacob Sipe, Executive Director  
Indiana Housing and Community Development Authority

8-26-13  
\_\_\_\_\_  
Date

**APPENDIX C: CERTIFICATION REGARDING LOBBYING**

**Certification for Contracts, Grants, Loans, and Cooperative Agreements**

The undersigned 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 sub-awards at all tiers (including subcontracts, sub-grants, and contracts under grants, loans, and cooperative agreements) and that all sub-recipients 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.

Signature

J. Jacob Sipe, Executive Director

Indiana Housing and Community Development Authority

Date

8-26-13

**APPENDIX D: CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS**

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**

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

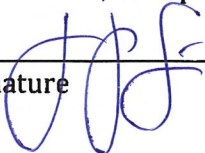
Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any Federal department or agency;

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;

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

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.

Signature 

Date 8-26-13

J. Jacob Sipe  
Executive Director  
Indiana Housing and Community Development Authority

## **APPENDIX E: CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY AND VOLUNTARY EXCLUSION**

### **LOWER TIER COVERED TRANSACTIONS**

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

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.

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.

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.

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.

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.

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 Non-procurement Programs.

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.


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 and Voluntary Exclusion

##### Lower Tier Covered Transactions

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.

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.

Signature 

Date 8-20-12

J. Jacob Sipe  
Executive Director  
Indiana Housing and Community Development Authority

**SECTION 200  
EAP BENEFITS AND SERVICES**

Financial eligibility for Energy Assistance benefits (heating, crisis, and summer cooling) is limited to households with a combined annual income at or below **150%** of the current Office of Management and Budget Poverty Guidelines. This is the tenth consecutive year households in Indiana may qualify for assistance with an income up to 150% of poverty.

A new benefit formula was implemented in 1998, which awarded the largest benefits to households with the highest energy costs and the lowest income levels based on family size. The formula was updated for FFY 2012 with the following changes. Thus, heating benefit amounts are calculated by awarding points based on factors within five categories of a benefit matrix. These categories are: **poverty level** based on household size, **dwelling type, housing status, at-risk (family) status, and fuel source**. The amount of the benefit is computed at a rate determined by IHCDA based on available funding and awarded on the benefit matrix, plus a regional differential, and an additional \$50 for the secondary utility needed to keep the heating system operational. A household may be eligible for an additional crisis benefit if the regular benefit is not enough to prevent the crisis situation. The client may receive up to \$200 in crisis assistance for regulated utilities or up to \$400 in crisis assistance for non-regulated utilities, like bulk fuel, oil, or wood.

All renters where heat and electric are included-in-rent will not be eligible for an energy assistance benefit. No cash assistance will be remitted to the clients.

**201 HEATING ASSISTANCE BENEFIT LEVELS & HOUSEHOLD INFO**

The benefit computation is completed using the **Energy Assistance Program Benefit Matrix** form (see Appendix C). The matrix sections and instructions follow:

**201.1 Household Information**

Name of Head of Household:	
SSN or Case No.:	County:

Household Income:	Date of Application:
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- Enter household and case identification as indicated.

### 201.2 Poverty Level Determination

The Poverty Points are determined by comparing the household's income level and size to the Poverty Guidelines. Points range from 2-6 based on where the household falls on the following chart.

HOUSEHOLD SIZE	<50%		<100%		<150%	
	MO.	YR.	MO.	YR.	MO.	YR.
1	478.75	5,745	957.50	11,490	1,436.25	17,235
2	646.25	7,755	1,292.50	15,510	1,938.75	23,265
3	813.75	9,765	1,627.50	19,530	2,441.25	29,295
4	981.25	11,775	1,962.50	23,550	2,943.75	35,325
5	1,148.75	13,785	2,297.50	27,570	3,446.25	41,355
6	1,316.25	15,795	2,632.50	31,590	3,948.75	47,385
7	1,483.75	17,805	2,967.50	35,610	4,451.25	53,415
8	1,651.25	19,815	3,302.50	39,630	4,953.75	59,445
Add Member	167.50	2,010	335	4,020	502.50	6,030
<b>POINTS:</b>	<b>6</b>		<b>4</b>		<b>2</b>	

CATEGORY	FACTORS	POINTS POSSIBLE	POINTS AWARDED
Poverty Points	From Chart Above	2, 4, 6 points	

- Compute the household's gross annual income.
- Locate the point on the chart where the income and household size falls and circle the amount and the number of points to be awarded.
- Enter the number of points on the matrix under Poverty Points.
- Note: The OMB poverty guidelines were updated on July 19, 2013. The poverty guidelines will remain the same during the heating season and change at the start of the summer cooling program on June 1, 2014.

### 201.3 Dwelling

Dwelling points are awarded based on the relative cost of heating three types of dwellings.

<b>CATEGORY</b>	<b>FACTORS</b>	<b>POINTS POSSIBLE</b>	<b>POINTS AWARDED</b>
Dwelling	Mobile Home	2	
	Single, Site Built	2	
	Duplex or Greater	1	

- Award two (2) points if the household lives in a mobile home;
- Award two (2) points if the household lives in a single, site built dwelling;
- Award one (1) point for households living in a duplex or multiplex (apartments);
- Maximum points are two.

#### **201.4 Housing Status**

Housing Status points are awarded to factor in whether the household is responsible for all of its utility costs or receives assistance in meeting those costs. Clients may be classified as subsidized or non-subsidized. Subsidized housing is defined as a dwelling that is receiving financial assistance from a government funded program toward the monthly rent payment. Rental assistance may include a utility allowance toward the utility monthly bills, but the utility allowance is not required to be considered subsidized.

Rural Development-funded properties are considered subsidized if the funding source provides a monthly rental payment. Other programs that may provide monthly rental assistance are, but not limited to, HOPWA, HOME TBRA, and HOME AGAIN, which are IHCD funded programs. Local municipalities may have their own rental assistance programs that provide a monthly payment amount. Those programs are included as well.

Section 42 funded properties are not considered subsidized. Section 42 clients are eligible for crisis assistance.

<b>CATEGORY</b>	<b>FACTORS</b>	<b>POINTS POSSIBLE</b>	<b>POINTS AWARDED</b>
Housing Status	Non-subsidized Housing	2	
	Subsidized/ Not Included	0	
	Subsidized / Included	0	

- Award two (2) points if the household pays its own heat utility costs (included or not).
- Award zero (0) points if the household pays its own heat utility cost but the rental cost is subsidized.
- Award zero (0) points if the household's heat utility cost is included in their rent and is subsidized.
- Maximum points are two.

**201.5 At-Risk**

The At-Risk households for the Energy Assistance Program include the elderly (60+), the disabled, and those households with children 0 to 5 years old. (See Section 302.6)

CATEGORY	FACTORS	POINTS POSSIBLE	POINTS AWARDED
At-Risk	Elderly, disabled, and/or children 0-5 years old	3	

- Award three (3) points only if the household has a member who fits one of the At-Risk factor definitions.
- Maximum points are three.

**201.6 Fuel Source**

Points are awarded for the primary Fuel Source based on the relative costs of heating with the various types of fuel.

CATEGORY	FACTORS	POINTS POSSIBLE	POINTS AWARDED
Fuel Source	Bulk Fuels (Kerosene, LP Gas, Oil, Wood, Coal)	3	
	Natural Gas	3	
	Electric	3	
	Heating Included	0	

- Award three (3) points if the household uses one of the listed bulk fuel sources.
- Award three (3) points if the household heats with natural gas.
- Award three (3) points if the household uses electric heat.
- Note; award zero (0) points if the household uses any one of the heat sources above but has heat included as a part of their rent.
- Maximum points are three.

**201.7 Total Points**

Total points are used to determine the amount of the EAP benefits.

Notes & Comments:	= Total Points	
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<i>If heat and electric are included in rent, benefit is \$0.</i>		X \$20 dollar amount per point	
		+ Electric	\$75
		+ Regional Differential (\$5, South, \$10 Central, \$15 North)	
		+ Crisis EAP	
Intake Worker:	Date:	= <b>TOTAL EAP BENEFIT</b>	

**201.7 Total Points, *continued***

- Add all of the points in each category for the Total Points.
- Multiply that amount by \$20 per point and enter the subtotal.
- Add the \$75 for the Electric utility, which is already on the form.
- Enter the correct Regional Differential of \$5 for the South region, \$10 for the Central Region, or \$15 for the Northern region. (See Appendix L in back for Regional Map.)
- Enter the amount of any Crisis benefit, which the household is getting. (See Section 202 for Crisis benefit rules.)
- Add the amount of the points benefit, the electric benefit, the regional differential and the Crisis EAP to determine the **Total EAP Benefit**.
- If a household's subsidized or non-subsidized rent payment includes the cost of both the heat and electric utility adjust the household's EAP benefit to \$0.

**201.8 Subsidized Households/Utilities Included**

If a household's subsidized rent payment includes the cost of the heat and electric utility, the household's EAP benefit is \$0. If the heat and/or electric are paid separately, by the client, that benefit should go directly to the utility. **No crisis dollars should be awarded.**

**201.9 Non-Subsidized Households/Utilities Included**

If a household's rent payment includes the cost of the heat and electric utility, the household's EAP benefit is \$0. If the heat and/or electric are paid separately, by the client, that benefit should go directly to the utility. Crisis dollars may be awarded.

**201.10 Completion of the Benefit Matrix Form**



Instructions: Complete the form by signing and dating it. Complete the Comments and Notes section as necessary.

## **202 CRISIS ASSISTANCE BENEFITS**

The LIHEAP statute requires that states reserve a reasonable amount of funds each fiscal year for crisis intervention. In Indiana, these funds make up the Crisis Assistance line item in each CAA's budget. (See Section 1200). Funds budgeted for crisis should be used at the time of application in an energy emergency.

### **202.1 Crisis**

A crisis means an *energy emergency* where:

- a household is in imminent danger of disconnection,
- already shut-off, is low on heating fuel, or
- is totally out of heating fuel.

A household that is in imminent danger has received a notice for disconnection from a utility vendor or has a low fuel tank, but has not yet been disconnected or actually run out of fuel.

### **202.2 Crisis Intervention**

The LIHEAP statute requires a timely and effective energy crisis intervention program for households in need of immediate assistance.

Timely Intervention - If the eligible household is experiencing an energy emergency the local CAA and/or its subcontractor must provide intervention that will resolve the crisis **within 48 hours from the time of application**. Assistance must be provided **within 18 hours of the time of the application**, if a life-threatening situation exists. This response must be designed to protect the health and safety of the household members. For the agency's part, the extension of Crisis benefits and other services constitutes a proper response to the emergency. Appointments are scheduled when the first available time slot becomes available, which means some appointments may be scheduled after the crisis timeframe.

Because agencies take applications on an appointment basis, the "time of scheduled appointment" may be later than when the household in crisis contacts the agency. Agency procedures must be in place to address a crisis within the time frames noted above and from the date of the determination by the agency that the household is in crisis. This can be simply accomplished by maintaining open appointment slots each day to address crisis applications.

At minimum, agencies are required to complete the following steps to mitigate a crisis situation.

- 1) Once a household contacts a CAA about a crisis situation, the agency must schedule an appointment with the first available opening in the appointment schedule. When the

appointment is scheduled, the agency should advise the household to contact the utility vendor(s) as notification that an EAP appointment has been scheduled and inquire about payment arrangement options until the appointment is completed.

- 2) At the appointment, the agency must ensure that the client submits a completed application to expedite the eligibility process.
- 3) The agency should enter the application to RIAA as a date and time stamp that the application has been submitted. Depending on the level of crisis, the agency has up to 48 hours to mitigate the issue.
- 4) The agency should determine eligibility as soon as the application is completed. The agency should contact the client if the regular and crisis assistance available is not enough to prevent the crisis.
- 5) Once eligibility has been determined, the agency must immediately contact the utility vendor and client about EAP approval.

Agencies should have written procedures in place for crises that occur during the weekends when agencies are not open.

Intervention Strategies - Appropriate intervention on the agencies part includes, but is not limited to:

- **Crisis Assistance. For households whose regular heating benefit cannot assure service (regulated) or guarantee delivery (bulk fuel), the agency must use Crisis Assistance funds to alleviate the situation. Crisis Assistance must guarantee continuation of service or not be offered.**
- **Case Work Activities.** If the authorized heating and crisis benefits cannot resolve the emergency, the agency must provide services to the household to secure additional funds. These services include referrals to other sources of utility assistance, intervention on behalf of the family with utility vendors, providing budget counseling with an emphasis on maintaining rent and utilities.
- **Case Management.** Crisis clients should be referred to the EAP Energy Education component. For more extensive intervention with the family, the CAA should have procedures for referrals to the agency's case management component, i.e. Family Development Consultants, or Family Self-Sufficiency caseworkers.

The Indiana program includes additional benefits and services. Though clients receive moratorium protection between December 1 and March 15, agencies should extend crisis benefits consistently during the entire heating season, including the moratorium period.

### **202.3 Crisis Assistance Benefits for Regulated Utilities**

In addition to the regular benefit, the agency may extend up to **\$200** in Crisis Energy Assistance to a household with a **regulated** utility energy emergency as defined above.

The crisis benefit will be based on the family's circumstance at the time of application. The amount of the benefit will be based on the actual amount needed to restore service or prevent disconnection, up to \$200. This applies at any time that the household initially applies; **before, during, or after** the moratorium period.

To calculate the crisis benefit, the agency will take disconnection amount listed on the bill and subtract the amount of the EAP regular benefit. The crisis benefit amount will be the difference, up to \$200 for regulated utilities.

The crisis assistance may be split between the two utilities, as long as the total amount does not exceed \$200 for both utilities.

Families receiving less than the \$200 maximum **are not** entitled to any additional amount later in the program. This applies even if the household was not originally in an emergency and did not receive any Crisis benefits at the time of the initial application.

### **202.4 Crisis Assistance Benefits for Unregulated Utilities**

In addition to the regular benefit, the agency may extend up to **\$400** in Crisis Energy Assistance to a household with an **unregulated** utility energy emergency, as defined above.

Households that use bulk fuel vendors are not covered by moratorium protection and may be in an energy crisis at any time throughout the winter. Crisis assistance for bulk fuel households may be extended up to the maximum (\$400), anytime from the beginning of the current year's program until March 15<sup>th</sup>. This includes offering the maximum crisis at time of application to ensure a minimum delivery or prevent the client from coming back for the crisis benefit after the regular benefit is extended. However, clients can receive a regular benefit at the time of application and come back at a later date for the crisis assistance, if necessary and as long as the agency has funds available to offer crisis assistance.

New applicants, after March 15<sup>th</sup>, may receive regular and crisis assistance if necessary as long as the agency has the funds available.

The crisis assistance may be split between the two utilities, as long as the total amount does not exceed \$400 for both utilities.

Some bulk fuel clients have “metered propane tanks”. The metered propane tank is a computerized bulk fuel tank that is controlled by a centralized computer system. Clients have an automated delivery schedule based on the amount of fuel in the tank, time since the last delivery, and outside temperature. The client receives a monthly bill that is based on the amount of fuel used within a 30- day window. Clients who fall behind on their monthly bill will receive a notice of disconnection with a disconnection amount. If the disconnection amount is not paid, the tank will be turned off from the centralized computer. The client does not switch to a “cash for delivery” contract. The bill must be paid before the tank is turned back on. Clients with these types of tanks are still considered unregulated and are eligible for up to \$400 crisis assistance. Crisis assistance must be allocated, based on the amount of the bill at the time of application. According to the Indiana Code, these clients are not eligible for moratorium protection.

## **202.5 Budget Plans and Payment Arrangements**

Clients with regulated utilities on a budget billing plan are ineligible for crisis assistance since the monthly utility bill is being maintained by a pre-arranged payment plan. If the client breaches that plan, the client must provide a disconnection notice to be eligible for crisis assistance.

Clients who have a payment arrangement with their utilities are ineligible for crisis unless they produce a disconnection notice that the payment arrangement has been breached.

Clients with unregulated utilities who have a budget payment plan are ineligible for crisis. The budget payment plan contract is designed to assist clients with controlling their energy burden. The payment plan ensures that clients receive bulk fuel deliveries on an automated schedule, as opposed to calling when the tank is low.

If a client falls behind on payments to the plan, the payment plan is dissolved and the client is placed on a “cash before delivery” basis. The client should receive a notice stating that the bill is past due and will not receive an automatic tank refill. At this point, the client must submit documentation for crisis up to \$400. Budget payment plan clients are eligible to come back at a later date for crisis assistance, if they provide documentation that they have breached their budget plan agreement.

## **202.6 Outreach**

According to Assurance 16, Energy Assistance Programs may budget up to five percent of their program funds toward outreach, needs assessments, counseling, and activities that encourage households to decrease their energy burden. In Indiana, this assurance is met through Outreach and EAP Social Services. Agencies are allowed to budget up to three percent of their program funds toward “Program Support”. EAP Program Support funds (See Section 1200) may be used for traditional outreach activities designed to increase awareness of and participation in the program, activities such as:

- Staff activities in the delivery of general information about EAP, as well as other energy-related programs;
- cost of materials such as EAP program pamphlets, energy education information;
- postage for mail-in applications;
- maintenance of seasonal outreach sites;
- Energy Education expenses as it relates to community outreach efforts; and
- overhead costs associated with these activities.

A goal of the program is to increase the participation of at-risk families, by providing outreach that should be directed toward the elderly, disabled, and households with young children.

## **202.7 EAP Social Services**

EAP funding may be used for a range of social services, everything from short-term crisis intervention to long-term services under the Family Development Plan.

Agencies are encouraged to examine the way in which households are evaluated at intake for further services beyond the provision of the utility assistance benefit and to have in place referral procedures to other areas of the agency, or to other agencies in the community, for delivery of those services.

Assurance 16 (outreach and social services) funds may be used in longer-term activities with Energy Assistance families as established in the CAA Family Development Plan, including case management in the areas of:

Energy/Energy Education	Adult Education
Employment	Health
Housing	Child Development and Education
Transportation	Nutrition
Income Maintenance	Family Relations/ Domestic Violence
Support Systems	Alcohol and Drug Abuse

Many CAAs have been working to strengthen their case management function. Through training and cost allocation, agencies have enhanced their ability to provide social services to EAP households. Through Indiana Family Development Program with INCAA, agencies can develop staff equipped to respond to families in need of case management.

By combining funds such as CSBG, higher reimbursement rates from Housing Choice Voucher's Family Self-Sufficiency, Weatherization client education funding, and other sources, agencies have an opportunity through cost allocation to fund social service positions to work with EAP households on an intensive basis.

An agency that will provide services using the Family Development process, may budget up to 2% of the agency's contract for such activities.

(See Section 1200 for additional requirements for the use of "Program Support" and "Family Development" funds.)

## **202.8 Weatherization Assistance Program**

Households with income up to 200% of poverty should be completed, and the applicant told that their household may still be able to receive weatherization services. In the RIAA software, agencies must refer these clients to the Indiana Weatherization Assistance Program for additional services and assistance.

## **203 EAP BENEFIT PAYMENTS**

EAP benefit payments are made to the utility vendors on behalf of the eligible household for current utility accounts or past due utility accounts. (Transactions involving home energy payments are no longer exempt from the state gross retail sales tax. The LIHEAP sales exemption rule lasted from July 1, 2006 to June 30, 2009).

### Vendors include:

- **Regulated Heating and Electric Utilities** who provide electricity and/or natural gas.
- **Bulk Fuel, LP, and other non-regulated vendors** who provide Fuel Oil, LP Gas, Coal, Wood, or Kerosene. The delivery fee for LP gas, wood, coal, kerosene, or fuel oil should be part of the benefit.

Vendors are not allowed to deduct sales tax from the LIHEAP benefit. All sales tax should be applied to the client's utility bill.

### **203.1 Application of the Regular EAP Benefit**

Once the total benefit amount has been calculated using the Matrix, benefits will be allocated as follows:

- \$75 will be given toward the electric benefit
- The remaining portion of the benefit will be given to the primary heating source

If the primary heating source is total electric, then the entire benefit will be given to the electric utility.

If there is an additional amount owed by the household, on the heating and/or electric source, a crisis benefit may be used to pay it. To be eligible for the crisis benefit, the household must have lost service, or be in danger of losing service by providing a utility bill with a “**disconnect**” amount showing. The allowable crisis benefit is the actual amount needed to maintain or restore service, up to the maximum crisis benefit of \$200 for regulated fuel or \$400 for bulk fuel. The agency must show in the client file how the crisis award was determined.

As with regular benefits, crisis benefits may be used to pay on both the primary and secondary utility. The crisis benefit may be applied to the heat or the electric utility bill, or split among the two as the agency deems appropriate with a total maximum of \$200 offered for regulated customers or \$400 for bulk customers.

The utility must be listed in the name of a household resident, age 18 and older. A household application may be approved only one time during the heating season.

A household must apply at the local office of their primary residence or at another site authorized by the CAA.

The purpose of EAP funds is to ensure that the clients have utility service during the winter months. The agency will ensure that the benefit amount, with crisis, is enough to prevent disconnection and maintain regular service. If the benefit amount including crisis is not enough to prevent a disconnection, the client will be asked to make a payment to the utility vendor for any past due amounts or deposits before the pledge is made. The agency reserves the right to refuse a benefit if the pledge amount is not enough to maintain active service and the client lacks the funds to pay the remaining balance or subsequent deposits.

### **203.2 Application of Regular Benefits on a Credit Balance**

If an applicant household has a credit balance in excess of \$500.00 on one of the **regulated utilities only** at the time of the application, they will not be considered eligible for assistance to that bill until the credit balance is under \$500.00. The client is eligible for the benefit that meets other program requirements. Once the credit balance is under \$500, then the client can come back and request the benefit.

If the client’s credit exceeds the \$500 limit for a regulated utility, then the client may request to waive the benefit and add the funds to the other benefit. The waiver must be approved by the agency’s Program Manager and a waiver form must be completed. A copy of the waiver must be located in the client’s file. Upon approval, it must be explained to the client that he/she will be ineligible for additional benefits until the next program year.

If the client has a credit balance on the **unregulated utilities**, the client is eligible for both the heating and electric benefits, regardless of the credit balance.

### **203.3 Application of Regular Benefits on an Inoperable Heating Source**

If the heating source for which the home is designed is not operable either due to disconnection or mechanical failure, the regular benefit should not be provided to the applicant, even if they are heating with electric space heaters or other unsafe alternatives. The client is eligible for the electric credit only.

In these instances, the client may not waive the heating benefit in order to receive a larger electric benefit. If the heating source is later deemed operable, during the program year, the client may return for the regular benefit for which they qualified.

#### **203.4 Electric Utility Payments**

Even though a household may not depend on electricity as a source of heat, it is generally required to operate the heating appliance. Thus, to maintain heat it is important that the electric utility also be kept on. The benefit matrix adds \$75 for the electricity.

In the instance that a household does not have electric service, the household is not eligible for the additional electric benefit.

It is the intent of the program that \$75 be the amount allocated from the regular benefit to the electric utility. The agency may not apply more regular benefit dollars to the electric utility and less to the heat.

However, up to the maximum of \$200 for regulated utilities (or \$400 for a bulk fuel heated household) in crisis benefits may be applied to the electric utility if it is not the primary heat source and the crisis amount is warranted. Again, the agency must show in the client file how the crisis award was determined.

#### **203.5 Heating with Wood**

For eligible households using wood as their primary heating source, agencies should ensure that households receiving wood meet the following criteria.

- **Wood:** all wood vended for EAP must be of a good density, such as cherry, hickory, oak, beech, birch, and ash. Types of wood not recommended are maple, elm, gum, sassafras, tulip, aspen, white pine, or poplar. In addition to these woods, IHCD recommends that no green wood in more than 1/3 to 2/3 seasoned ratios be accepted for delivery to a household.
- **Rick:** a measurement which is 4' x 8' by 16" - 20" deep.



- Seasoned Wood: at least one year old and dry.

Wood costs are not covered when it is a supplemental heat source.

Clients who heat with wood must be issued a “wood certificate” or voucher by the agency. This would allow the client to select a vendor of their choice. The client and vendor would then complete the “wood certificate” upon product delivery, and the vendor would return the voucher to the agency for payment.

Applicants who cut their own wood are **not eligible** for heating assistance benefits

## **204 EAP BENEFIT - UNALLOWABLE PAYMENTS**

Energy Assistance payments may not be made for the following utility-related expenses:

- utility reconnection fees or deposit fees;
- past-due bulk fuel bills (unless payment of the past due bill prevents an immediate crisis delivery to the household);
- water or sewage bill;
- direct rent payments;
- tampering charges;
- outdoor security lights;
- appliance service programs charged to the utility bills; or
- appliance payments.

### **204.1 Limits on Arrears Payments**

The energy assistance benefit may not be applied to that portion of a household’s utility bill, which is in arrears over one year from October 1<sup>st</sup> of the current program year. The CAA EAP program manager may waive this rule. The reason for the waiver is to be documented in the case file.

## **205 DOCUMENTATION OF UTILITY PAYMENTS**

Households applying for the Energy Assistance Program must show a utility bill as a part of documenting their need. This bill must become part of the applicant’s file. The utility must be listed in the name of a household resident over age 18 years or older. There are three

exceptions to this rule: (1) the utilities are listed in the name of a legal power of attorney; (2) lease or landlord affidavit states that the utilities must be listed in the landlord's name; or (3) the client is mentally or physically disabled and the utilities are handled by a company or service that pays for all of the client's needs.

If the utility is listed in the name of a power of attorney, then the client must submit a copy of the legal documentation designating the power of attorney. The copy should be retained in the client's file. To be considered a valid power of attorney in the state of Indiana, the paperwork should contain the following information:

- (1) Be in writing.
- (2) Name an attorney in fact.
- (3) Give the attorney in fact the power to act on behalf of the principal.
- (4) Be signed by the principal or at the principal's direction in the presence of a notary public.
- (5) In the case of a power of attorney signed at the direction of the principal, the notary must state that the individual who signed the power of attorney on behalf of the principal did so at the principal's direction.

If a household claims that the utility payment is included in the rent, a lease agreement or contract with the landlord stating the landlord's name, address, telephone number, and who is responsible for utilities, is required. If a lease or contract is not available, a Landlord Affidavit must be completed. (See Appendix D for a sample of a **Landlord Affidavit**.) The lease agreement, contract copy, or Landlord Affidavit, must be attached to the application form and retained in the client's file. Intake staff must verify that this information has been submitted and is included in the client's file.

All rental applicants must provide a lease agreement or Landlord Affidavit. A collateral contact by phone to the landlord or management company for verification will be allowable if the household is in a crisis situation.

All utilities should be listed in the name of a household resident. If one utility (either electric or primary heating source) is not listed in the name of a household resident, landlord, or power of attorney, then the client will be ineligible for that utility benefit until the name is switched to a household resident. That benefit cannot be waived. This utility is not eligible for moratorium protection because it does not meet program requirements for approval. The client is eligible for the utility benefit that meets the program requirements and is covered by moratorium protection.

Some bulk fuel vendors may refuse to supply documentation for unregulated utilities. Agencies must provide notes to the client's file that they requested a copy of a receipt or bill, but the request was denied.

## **206 RENTERS**

### **206.1 Equitable Treatment of Renters**

The 1995 Federal LIHEAP reauthorization, and program amendments governing the Energy Assistance Program, clearly states that renters and homeowners must be treated equitably in the determination of energy assistance needs and eligibility.

Households who rent are eligible for the Energy Assistance Program, if they are income eligible and are:

- responsible for payment of heat and/or electric utilities separate from their rent

However, if a household's rent payment includes the cost of the heat and electric, the household does not have an energy burden and will not receive an EAP benefit this year.

### **206.2 Direct Benefit Payments**

EAP no longer makes direct utility payments to individual households.

In the case of a household, where the heat is included in rent and electric is paid separately, no check will be sent to the client for heat but a \$75 payment is to be made by transmittal to the electric utility.

Conversely, if the electric cost is included in the rent and the heat is paid separately, a direct check will not be sent to the client for electric, but a payment determined by the matrix is to be made by transmittal to the heating vendor.

Utilities that are ineligible for assistance may not be waived and transferred to the other utility listed on the bill.

## **207 BENEFIT REFUNDS and OVERPAYMENTS**

A refund occurs because a benefit was paid, but the account closed and left a credit. This money is due back to the client from the utility vendor.

If a household moves out of the service area of the current utility company, leaving a credit on the utility bill, which was paid by the Energy Assistance Program, the remaining amount is to be refunded by the utility company to the household. Funds may return to the utility vendors because the client did not provide a forwarding address. The remaining benefits must be returned to IHCDA. If the client does not contact IHCDA for the credit within 90 days of the receipt from the utility vendor, the refund will be reinvested into the Energy Assistance Program and used to fund additional benefits for other clients.

If the client contacts IHCDA for the credit within 90 days of receipt, the client must provide new utility information. The credit will be sent to the new utility vendor. If the client states that he/she no longer has utilities, then the credit will be sent to the client. The client must complete and notarize the refund request form (located in Appendix V). Refunds can take up to two weeks for processing, upon receipt of the completed form.

In case of the death of a recipient, the remaining utility credit becomes a part of the deceased's estate. The estate has up to 90 days from the client's date of death to request the refund. The client's estate must complete and notarize a refund request form (located in Appendix V). Refunds can take up to two weeks for processing, upon receipt of the completed form.

After application, if a household moves out of the services area of their utility company, or otherwise leaves an open account with a balance due, then the EAP benefit may be applied to the balance before any credit is returned to the CAA. It is not the intent of the program to pay on a closed or disconnected account.

An overpayment occurs when it is found that a client was overpaid. There are funds that need to be returned to the program. The funds are removed from the client's account and returned to IHCDA from the utility vendor. The money is not due to the client, nor does it get added back into the agency's budget. Instead, the funds are used to fund other program activities. To collect these funds, agencies will submit an overpayment remittance in RIAA (formerly negative transmittal) as notification for payment. The utility vendor will send the payment along with the remittance to IHCDA. (See Section 600 of the manual about Overpayments)

**APPENDIX G: ENERGY ASSISTANCE PROGRAM**

**MEMORANDUM OF UNDERSTANDING**

**ENERGY ASSISTANCE PROGRAM**  
**MEMORANDUM OF UNDERSTANDING**

This Memorandum of Understanding (“MOU”) entered into by and between the **Indiana Housing and Community Development Authority (“IHCDA”)** and (“Vendor”) is effective as of October 1, 2013.

**RECITALS**

**WHEREAS**, IHCDA administers the Energy Assistance and Leveraging Incentive Programs (“EAP”) pursuant to the federal Low-Income Home Energy Assistance Act, 42 U.S.C. § 8621 et seq.; 45 C.F.R. § 96.80, and the Leveraging Incentive Program contained in the Low-Income Home Energy Assistance Act, 42 U.S.C. § 8626a; and

**WHEREAS**, Vendor provides heat and/ or utility service(s) (the “Services”) to residents of the State of Indiana served by the following Community Action Agencies:

**(Check all that apply)**

- |                                 |                                   |                                |                                |                                |
|---------------------------------|-----------------------------------|--------------------------------|--------------------------------|--------------------------------|
| <input type="checkbox"/> Area V | <input type="checkbox"/> Area IV  | <input type="checkbox"/> CFS   | <input type="checkbox"/> CAEC  | <input type="checkbox"/> SIEOC |
| <input type="checkbox"/> CAGI   | <input type="checkbox"/> CANI     | <input type="checkbox"/> CASI  | <input type="checkbox"/> COWI  | <input type="checkbox"/> PACE  |
| <input type="checkbox"/> CAPE   | <input type="checkbox"/> TRI-CAP  | <input type="checkbox"/> HUEDC | <input type="checkbox"/> HS-I  | <input type="checkbox"/> WICCA |
| <input type="checkbox"/> ICAP   | <input type="checkbox"/> JS-CICAP | <input type="checkbox"/> LHDC  | <input type="checkbox"/> NCCAA | <input type="checkbox"/> JHBCC |
| <input type="checkbox"/> NWICA  | <input type="checkbox"/> OVO      | <input type="checkbox"/> REAL  | <input type="checkbox"/> SCCAP |                                |

**WHEREAS**, Vendor desires to provide the Services in connection with EAP; and

**WHEREAS**, Vendor and IHCDA desire to set forth their mutual understandings related to Vendor providing Services for individuals participating in EAP.

**NOW, THEREFORE**, in consideration of the mutual covenants and conditions contained herein, the sufficiency of which is hereby acknowledge, the parties hereby agree as follows:

**AGREEMENT**

- 1. Term.** This MOU is valid for a one year term (October 1, 2013 through September 30, 2014).
- 2. Renewal.** This MOU cannot be renewed. Vendor must complete a new MOU each program year to receive funds from the program.
- 3. Local Administrators.** Vendor acknowledges that IHCDA contracts with Subgrantees to administer EAP, and that the Subgrantee will notify Vendor of client EAP eligibility and

provide Vendor with the documents necessary to submit claims for payment under EAP. Vendor shall follow the processes set forth by the Subgrantee, and shall submit all such required documents to the Subgrantee.

4. **Client Confidentiality.** The Vendor or its subcontractors will not disclose any applicant information associated with the eligibility review process or distribution of benefits to any individual or entity, except to those authorized in writing by the customer, Subgrantee, or funder for program purposes only, and will abide by the requirements of all applicable state or federal laws, rules, and regulations, including, but not limited to, the release of Social Security number provisions in IC § 4-1-10 and the notice of security breach provision in IC § 4-1-11.
5. **Eligibility Determination.** The Subgrantee will send a transmittal (or batch of transmittals) to the Vendor for verification of the applicant's name, address, account number, account balance, and service status. The Vendor will validate the information, sign the transmittal, and return to the Subgrantee for payment.
6. **Acceptance of Payment.** All payments shall be made in arrears in conformance with State fiscal policies and procedures and, as required by IC 4-13-2-14.8, by electronic funds transfer to the financial institution designated by the Vendor in writing unless a specific waiver has been obtained from the IHCDA Controller. Within thirty (30) days of receipt of Vendor's invoice from the Subgrantee, IHCDA shall submit to Vendor a single aggregate ACH payment for all individuals in EAP listed on the Vendor invoice. IHCDA will notify Vendors via e-mail upon sending of an ACH payment to Vendor's account.
7. **Application of Taxes.** The Vendor shall not deduct sales taxes from the EAP benefit. Taxes shall be applied to the customer's account.
8. **Unallowable Expenses.** LIHEAP funds may not be applied to the following types of expenses: deposits, reconnection fees, garbage, cable, service plans, or other fees that are not associated with utility service.
9. **Refund.** If a monthly payment to Vendor exceeds the amount of money owed Vendor for a client for such month, Vendor shall apply the overpayment to the client's account for the following month(s), as a credit as long as the client has active service with the Vendor. If the client does not receive Services in the following month, Vendor is to make a reasonable effort to distribute the funds to the client. If Vendor is unable to locate client, Vendor shall issue IHCDA a check for the amount of overpayment, along with the name, last known address and account number of the client.
10. **Overpayment.** Overpayments occur when the Subgrantee or the State review a file and find that the customer of record was overpaid. The Subgrantee will send an overpayment remittance to the Vendor requesting that the funds be returned to IHCDA. The Vendor agrees to return the overpayment remittance and overpaid funds back to IHCDA.
11. **Energy Consumption Release.** The Vendor agrees to make available energy consumption data for customers who are EAP approved for a period of 12 months prior to the EAP

application. To “make available” means provide access for the client or the Subgrantee to acquire the information through a copy of the bill or a web portal.

- 12. Non-Discrimination.** Vendor agrees to comply with Title VI of the Civil Rights Act of 1964 (42 U.S.C. § 2000d et seq.), Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. § 794), the Age Discrimination Act of 1975 (42 U.S.C. § 6101 et seq.), the Drug Abuse Prevention and Treatment Amendments of 1978 (21 U.S.C. § 1101 et seq.), the Public Health Service Act of 1944 (42 U.S.C. §§ 290dd through 290dd-2), and all other non-discrimination regulations of the United States Government to ensure that no person shall, on the grounds of race, age, color, religion, sex, disability, national origin, ancestry, or status as a veteran, be excluded from participating in or denied the benefit of Vendor’s services under EAP.
- 13. Equal Treatment.** Vendor assures 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.
- 14. Moratorium.** Pursuant to IC 8-1-2-121, Vendor acknowledges that from December 1<sup>st</sup> through March 15<sup>th</sup> of any year, Vendor cannot disconnect residential electric or gas service to any household that, on or after October 1<sup>st</sup>, is eligible for, has applied for, and qualifies for assistance under the EAP program. A “qualified” household is defined as a household that has submitted a complete application to its local CAA or designee, and a staff person at that agency has determined or is determining that eligibility meets the program requirements based on household income, number of household members, and utility bills. Simply submitting an application does not automatically make a household “qualified”, if the local Community Action Agency has insufficient resources to conduct an eligibility review of the application.
- 15. Registration with the Indiana Secretary of State.** Vendor affirms that it is properly registered with, in good standing, and owes no outstanding reports to the Indiana Secretary of State.
- 16. Fraud.** Vendor must notify the Subgrantee of any household that has misrepresented information pertinent to the eligibility of EAP benefits. Such notification may result in the termination and revocation of EAP benefits from the customer’s record. Also, Vendor must notify IHCDA immediately if Vendor identifies fraud in their own company as it relates to the use of EAP benefits. In either situation, the Vendor may be required to return all funds associated with the misrepresentation.
- 17. Indemnification.** Vendor shall indemnify, defend, and hold harmless IHCDA, and its employees, agents, and officials, against any and all actions, liabilities, losses, damages, costs, or expenses which they may sustain, incur, or be required to pay by reason of any person suffering bodily injury, death, or property loss or damage as a result of any act or omission of Vendor, or any officer, agent, employee, or subcontractor thereof, in carrying out activities under this Agreement. Vendor shall require any subcontractor to indemnify Vendor and IHCDA, and their employees, agents, and officials, as part of any subcontract issued pursuant to



this Agreement. The IHCD A shall not provide such indemnification to Vendor. The obligations set forth in this section shall survive the termination or expiration of this Agreement.

- 18. Record Keeping.** Vendor agrees to maintain an adequate accounting system to allow verification and auditing of the amount of services delivered to eligible households.
- 19. Choice of Law.** The terms and provisions of this MOU shall be governed by and interpreted under the laws of the State of Indiana and any and all disputes hereunder shall be litigated in courts located in Marion County in the State of Indiana.
- 20. Independent Contractor.** In the performance of this MOU, the parties acknowledge and agree that they are acting in an individual capacity and not as agents, employees, partners, joint venturers, or associates of one another. The employees or agents of one party shall not be deemed or construed to be the employees or agents of the other party for any purposes whatsoever. The parties will not assume liability for any injury, including death, to any person, or damage to any property arising out of the acts or omissions of the agents, employees, or subcontractors of the other party.
- 21. Amendment.** The terms and provisions of this MOU may be modified only through written amendment executed by the parties hereto.
- 22. IRS FORM W-9.** Vendor agrees to complete in full and return to IHCD A a federal Form W-9 (Request for Taxpayer Identification Number and Certification), the form of which is attached hereto as Exhibit A and made a part hereof.
- 23. Funding Cancellation and Termination for Convenience.** When the Executive Director of IHCD A makes a written determination that funds are not appropriated or otherwise available to support continuation of performance of this MOU, it shall be canceled. Such determination shall be final and conclusive. This MOU may be terminated, in whole or in part, by the IHCD A whenever, for any reason, IHCD A determines that such termination is in the best interest of IHCD A by notice in writing.

**[REMAINDER OF PAGE INTENTIONALLY LEFT BLANK.]**

**Non-Collusion and Acceptance**

The undersigned attests, subject to the penalties for perjury, that he/she is the Vendor, or that he/she is the properly authorized representative, agent, member or officer of the Vendor, that he/she has not, nor has any other member, employee, representative, agent or officer of the Vendor, directly or indirectly, to the best of the undersigned's knowledge, entered into or offered to enter into any combination, collusion or agreement to receive or pay, and that he/she has not received or paid, any sum of money or other consideration for the execution of this MOU other than that which appears upon the face of this MOU.

**In Witness Whereof**, Vendor and IHCDA have, through their duly authorized representatives, entered into this MOU. The parties, having read and understood the foregoing terms of this MOU, do by their respective signatures dated below hereby agree to the terms thereof.

**Vendor**

Attested by (where applicable):

Name: \_\_\_\_\_

By: \_\_\_\_\_

Printed: \_\_\_\_\_

Title: \_\_\_\_\_

Date: \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**Indiana Housing and Community  
Development Authority**

By: \_\_\_\_\_

Printed: J. Jacob Sipe

Title: Executive Director

Date: 8-26-10

Addresses for the provision of notice:

To IHCDA:

Indiana Housing & Community Development Authority  
Attention: EAP  
30 South Meridian Street, Suite 1000  
Indianapolis, Indiana 46204

To Vendor:

Name: \_\_\_\_\_

Address: \_\_\_\_\_

City, State Zip \_\_\_\_\_

Direct Deposit

Check

E-Mail: \_\_\_\_\_  
(Required for direct deposit.)

Phone: \_\_\_\_\_

Please use the ACH Form provided by IHCDA.