

DETAILED MODEL PLAN (LIHEAP)

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: 06/30/2017

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

* 1.a. Type of Submission: Plan	* 1.b. Frequency: Annual	* 1.c. Consolidated Application/Plan/Funding Request? Explanation:	* 1.d. Version: Initial
		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: Delaware Department of Health and Human Services.			
* b. Employer/Taxpayer Identification Number (EIN/TIN): 1516000279B5		* c. Organizational DUNS: 134776967	
* d. Address:			
* Street 1:	DIVISION OF STATE SERVICE CENTERS	Street 2:	1901 N. DUPONT HIGHWAY, Charles Debnam Building.
* City:	NEW CASTLE	County:	
* State:	DE	Province:	
* Country:	United States	* Zip / Postal Code:	19720

e. Organizational Unit:

Department Name: Department of Health and Human Services	Division Name: Division of State Service Centers.
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f. Name and contact information of person to be contacted on matters involving this application:

Prefix:	* First Name: Haly	Middle Name:	* Last Name: Laasme-McQuilkin
Suffix:	Title: Management Analyst III	Organizational Affiliation:	
* Telephone Number: 3022559744	Fax Number: 3022554463	* Email: Haly.Laasme-McQuilkin@State.De.Us	

* 8a. TYPE OF APPLICANT:

A: State Government

b. Additional Description:

Department of Health and Human Services/ Division of State Service Centers

* 9. Name of Federal Agency:

	Catalog of Federal Domestic Assistance Number:	CFDA Title:
10. CFDA Numbers and Titles	93568	Low-Income Home Energy Assistance

11. Descriptive Title of Applicant's Project

Energy Bill supplemental assistance for Low Income Households.


12. Areas Affected by Funding:

State of Delaware

13. CONGRESSIONAL DISTRICTS OF:

* a. Applicant: DE	b. Program/Project: LIHEAP
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Attach an additional list of Program/Project Congressional Districts if needed.

14. FUNDING PERIOD:		15. ESTIMATED FUNDING:	
a. Start Date: 10/01/2014	b. End Date: 09/30/2015	* 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?			
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 ✓			
** 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 Renee Beaman		18c. Telephone (area code, number and extension)	
		18d. Email Address renee.beaman@state.de.us	
18b. Signature of Authorized Certifying Official 		18e. Date Report Submitted (Month, Day, Year) 08/28/2014	
Attach supporting documents as specified in agency instructions.			

Section 1 - Program Components

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
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Department of Health and Human Services
Administration for Children and Families
Office of Community Services
Washington, DC 20447

August 1987, revised 05/92, 02/95, 03/96, 12/98, 11/01
OMB Approval No. 0970-0075
Expiration Date: 02/28/2005

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	10/01/2014	04/30/2015
<input checked="" type="checkbox"/> Cooling assistance	05/15/2015	09/30/2015
<input checked="" type="checkbox"/> Crisis assistance	10/01/2014	04/30/2015
<input checked="" type="checkbox"/> Weatherization assistance	10/01/2014	09/30/2015

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	61.00%
Cooling assistance	4.00%
Crisis assistance	4.00%
Weatherization assistance	10.00%
Carryover to the following federal fiscal year	5.92%
Administrative and planning costs	10.00%
Services to reduce home energy needs including needs assessment (Assurance 16)	5.00%
Used to develop and implement leveraging activities	0.08%
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:

	Heating assistance	<input checked="" type="checkbox"/>	Cooling assistance		
	Weatherization assistance		Other (specify:)		
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? Yes					
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					
SSI					
SNAP	Yes				
Means-tested Veterans Programs					
	Program Name	Heating	Cooling	Crisis	Weatherization
Other(Specify) 1	Categorical Eligibility				
1.5 Do you automatically enroll households without a direct annual application? Yes					
If Yes, explain: Computer match to determine SNAP recipients who will automatically receive nominal benefits, and thus maximum Standard Utility Allowances for purposes of their SNAP benefits					
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? Only requirement is that all applicants must be at or less than 200% of Federal Poverty Income Guidelines.					
SNAP Nominal Payments					
1.7a Do you allocate LIHEAP funds toward a nominal payment for SNAP households? Yes					
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: \$20					
1.7c Frequency of Assistance					
<input checked="" type="checkbox"/>	Once Per Year				
	Once every five years				
	Other - Describe:				
1.7d How do you confirm that the household receiving a nominal payment has an energy cost or need? Delaware State Housing Housing Authority					
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				
	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 checked="" type="checkbox"/>	Contract Income				
	Payments from mortgage or Sales Contracts				
<input checked="" type="checkbox"/>	Unemployment insurance				
	Strike Pay				

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

	Ameri-Corp Program payments for living allowances, earnings, and in-kind aid
	Reimbursements (for mileage, gas, lodging, meals, etc.)
	Other
<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 2 - HEATING ASSISTANCE

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
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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	HHS Poverty Guidelines	200.00%
2			0.00%

2.2 Do you have additional eligibility requirements for HEATING ASSISTANCE? Yes

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

Do you require an Assets test ? No

Do you have additional/differing eligibility policies for:

Renters? No

Renters Living in subsidized housing ? Yes

Renters with utilities included in the rent ? Yes

Do you give priority in eligibility to:

Elderly? Yes

Disabled? Yes

Young children? Yes

Households with high energy burdens ? No

Other? No

Explanations of policies for each "yes" checked above:

Renters living in subsidized housing?

- Applicant's subsidized rental amount is greater than \$380 month and pay for heating is treated as an *unsubsidized* rental category for the purposes of benefit amount determination and the regular LIHEAP benefit matrix is used category.

Renters with Utilities included in the rent?

Special provisions within "Farm Bill Act" allow subsidized renters with heat in rent that normally would not qualify for any energy assistance from LIHEAP program to receive nominal amount of \$20.01 in order to be eligible for higher SNAP benefits.

Elders?, Disabled? or Young Children?.

Household members are associated with a specific LIHEAP application for the fiscal year. This data is stored in household table. On each save of an application a procedure called UpdateLiheapApplication_S1 executes. Within this procedure all household members are evaluated.

Household members are stored in a table by application number and client identification. The household table references the liheap client table to obtain date of birth and disability status of each member. As this data is received points are assigned in the following manner.

The date of birth is evaluated against the LIHEAP application date using a procedure named CalculateAge_F1 to determine age. This procedure returns the age of the member on the date that the application was created. If the age is 60 or over Or is less than 6 one (1) point is assigned to the application. If the household member has a disability another point is added. Otherwise, no points are added.

Examples: If a household has 10 members and 2 members are 60 or older the application is scored with 2 points. If one of the members is also disabled and additional point is added bringing the total to 3 points.

If a household has a child under the age of 6 years one point is assigned to this application. If another member of the household is older than 5 and less than 60 but is disabled an addition point is added bringing the total to 2 points.

If a household has a child under the age of 6 years and is disabled 2 points assigned to this application.

When these applications are processed for funding the applications with the highest score that are certified are processed first and the rest in descending order. Other applications that had a score of zero and are certified are funded last. They met the constraints of household size and poverty level.

Other?

Program goal is to do outreach to homeless, foster care, and domestic violence victims

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.

LIHEAP program is priority coded for Elderly, Disabled, and Families with Young Children. These groups have the opportunity for early application processing.

2.5 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:

- Applicants living in subsidized housing with heat included in the rent, and deemed income eligible, receive Zero dollar amount because these households are less vulnerable to high energy costs than those responsible for paying their own heating bill separately. This policy excludes SNAP recipients.

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

2.6 Describe estimated benefit levels for FY 2015:

Minimum Benefit	\$300	Maximum Benefit	\$700
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2.7 Do you provide in-kind (e.g., blankets, space heaters) and/or other forms of benefits? Yes

If yes, describe.

Blankets given to agencies serving the homeless and low-income households.

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 3 - COOLING ASSISTANCE

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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 componenet:

Add	Household size	Eligibility Guideline	Eligibility Threshold
1	All Household Sizes	HHS Poverty Guidelines	200.00%

3.2 Do you have additional eligibility requirements for COOLING ASSISTANCE? Yes

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

Do you require an Assets test ? No

Do you have additional/differing eligibility policies for:

Renters? No

Renters Living in subsidized housing ? No

Renters with utilities included in the rent ? No

Do you give priority in eligibility to:

Elderly? Yes

Disabled? Yes

Young children? Yes

Households with high energy burdens ? No

Other? No

Explanations of policies for each "yes" checked above:

Cooling - Air Condition for Elderly,Disabled, Young Children?

Eligibility is determined by the Delaware Office of Community Services (OCS) in the Division of State Service Centers (DSSC) according to the US Department of Health and Human Services (HHS) Poverty Guidelines, published annually in the Federal Register.

Service is provided to all eligible residents of State of Delaware; AND

Households with gross household income less than or equal to 200% of poverty guideline (See Appendix C of SOW); AND

Include a person who is sixty (60) years of age or older; OR

Include a person who is disabled; OR

Have children under six (6) years of age; OR

Include members with written documentation from their doctors stating someone in the household suffers from chronic breathing problems such as asthma or emphysema.

Applicant has not received an air conditioner under SCAP in at least five (5) years. If the applicant is requesting an A/C during this period, they must document the reason for requesting another air conditioner. For example, to receive a replacement for a stolen A/C, the applicant has to submit the police report and meet the other eligibility criteria defined in section 2.1.

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

Applications are processed for first for the vulnerable population.

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):

<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			
Climate/region			
Individual bill			
Dwelling type			
Energy burden (% of income spent on home energy)			
Energy need			
<input checked="" type="checkbox"/> Other - Describe:			
Households members with chronic breathing problems.			
Benefit Levels, 2605(b)(5) - Assurance 5, 2605(c)(1)(B)			
3.6 Describe estimated benefit levels for FY 2015:			
Minimum Benefit	\$1	Maximum Benefit	\$1,000
3.7 Do you provide in-kind (e.g., fans, air conditioners) and/or other forms of benefits? Yes			
If yes, describe.			
During the cooling program we install air conditions, and may provide fans to income eligible households.			
Special Note: Section 3.6 Describe estimated benefit levels for FY 2015:			
Depending upon the availability of funds after heating season, LIHEAP program reserves the right not to fund the Cooling - Electric component.			
<p style="color: red;">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 4 - CRISIS ASSISTANCE

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
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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	HHS Poverty Guidelines	200.00%

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

Eligible households can request for additional energy assistance under ECIP if:
 Contractor deems the weather conditions of the subsequent 72 hours to pose a serious threat to health or safety of one or more members of the eligible household; AND
 Financial assessment demonstrates the household to be without sufficient resources for alleviating crisis; AND
 Household has no prospect for receiving resources within forty-eight(48) hours that could alleviate the crisis;AND
 Household utility services for heating have been disconnected; OR
 Household is under the payment arrangement with utility services to avoid disconnection; OR
 Household has received a notice from the utility services for disconnection within five(5) days; OR
 State declares the upsurge in the price of the home energy fuel type to be crisis; OR
 Division has authorized crisis payment

4.3 What constitutes a life-threatening crisis?

Currently policy does not exist.

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

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

Do you require an Assets test ?	No
Do you give priority in eligibility to :	
Elderly?	No
Disabled?	No
Young Children?	No
Households with high energy burdens?	
Other?	

In Order to receive crisis assistance:

Must the household have received a shut-off notice or have a near empty tank?	Yes
Must the household have been shut off or have an empty tank?	Yes

Must the household have exhausted their regular heating benefit?	Yes
Must renters with heating costs included in their rent have received an eviction notice ?	No
Must heating/cooling be medically necessary?	No
Must the household have non-working heating or cooling equipment?	No
Other?	
Do you have additional / differing eligibility policies for:	
Renters?	No
Renters living in subsidized housing?	No
Renters with utilities included in the rent?	No
Explanations of policies for each "yes" checked above:	
Self explanatory for question response was answer YES.	
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?	
Yes Explain.	
Catholic Charities offers 4 locations geographically accessible to all households.	
Interfaith Community Housing of Delaware, Inc services(A/C installation) our most northern county in the state.	
First State Community Action Agency services(A/C Installation) our two most southern counties in the state.	
4.11 Do you provide individuals who are physically disabled the means to:	
Submit applications for crisis benefits without leaving their homes?	
Yes If No, explain.	
Travel to the sites at which applications for crisis assistance are accepted?	
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	\$500 maximum benefit
Summer Crisis	\$0 maximum benefit
Year-round Crisis	\$0 maximum benefit
4.13 Do you provide in-kind (e.g. blankets, space heaters, fans) and/or other forms of benefits?	
Yes If yes, Describe	
Provide blanket to homeless and shelters.	
4.14 Do you provide for equipment repair or replacement using crisis funds?	
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.

	Winter Crisis	Summer Crisis	Year-round Crisis
Heating system repair			
Heating system replacement			
Cooling system repair			
Cooling system replacement			
Wood stove purchase			
Pellet stove purchase			
Solar panel(s)			
Utility poles / gas line hook-ups			
Other (Specify):			

4.16 Do any of the utility vendors you work with enforce a moratorium on shut offs?

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.

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 5 - WEATHERIZATION ASSISTANCE

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
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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	HHS Poverty Guidelines	200.00%

5.2 Do you enter into an interagency agreement to have another government agency administer a WEATHERIZATION component? Yes

5.3 If yes, name the agency. Department of Natural Resources Environmental Controls.

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

5.7 Do you have additional/differing eligibility policies for :

Renters No

Renters living in subsidized housing? No

5.8 Do you give priority in eligibility to:

Elderly? Yes

Disabled? Yes

Young Children? Yes

House holds with high energy burdens? No

Other?

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.

Elderly, Disabled, Young Children?

Waiting List Priorities

Because of the high demand for weatherization services, the program frequently has a waiting list for services. The waiting list is comprised of families who have qualified for the program as noted above. In determining the order of weatherization, priority is given to applicants on the waiting list with certain characteristics. Families with elderly or disabled members receive priority, as do families with children.

DNREC has adopted the following point system accounting for various factors to determine the applicant's position on the waiting list:

POINTS	FACTOR
10	The family contains an elderly individual (over 65 years old)
10	The family contains a disabled individual (receiving Medicaid, Medicare, Social Security Disability, or Supplemental Security Income)
5	The family has one or more additional members who are elderly or disabled
10	The family has one or more children (under 18 years old)

Once these priority points are applied, the applicants on the waiting list are drawn on a first come first served basis. This is done by applying 10 to 40 points for the length of time family has been on the list, according to the latest available data. Points are added as follows:

- 1-12 months add 10 point
- 13-24 months add 20 points
- 25-36 months add 30 points
- 37+ months add 40 points

Once all points are tabulated the applicants are drawn from the list according to the highest point total. In the event families have the same number of points, the oldest actual application date will be used as the tie breaker.

Benefit Levels

5.9 Do you have a maximum LIHEAP weatherization benefit/expenditure per household? Yes

5.10 If yes, what is the maximum? \$7,500

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

LIHEAP intake services by telephone for the physically infirmed(ie., elderly 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, SSI, 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:

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

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?

LIHEAP is administered by Delaware Health and Social Services. Outreach, intake and application processing is performed by our prime contractor, Catholic Charities (CC). Weatherization is administered by another state department, and contracts with non-profits to perform the work. Division of State Service Centers participates in the application processing on a limited basis, but all eligibility determinations are made by CC.

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

LIHEAP is administered by Delaware Health and Social Services. Outreach, intake and application processing is performed by our prime contractors, Catholic Charities(CC), First State Community Action Agency, Interfaith Community Housing of Delaware. Weatherization is administered by another state department, which contracts with non-profits to perform the work..

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

LIHEAP is administered by Delaware Health and Social Services. Outreach, intake and application processing is performed by our prime contractor, Catholic Charities (CC). Weatherization is administered by another state department, which contracts with non-profits to perform the work..

8.5 LIHEAP Component Administration.	Heating	Cooling	Crisis	Weatherization
8.5a Who determines client eligibility?	Non-profits	Non-profits	Non-profits	State Energy/Environment Agency
8.5b Who processes benefit payments to gas and electric vendors?	Non-profits	Non-profits	Non-profits	
8.5c who processes benefit payments to bulk fuel vendors?	Non-profits	Non-profits	Non-profits	
8.5d Who performs installation of weatherization measures?				State Energy/Environment Agency

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?

Request for proposal

8.7 How many local administering agencies do you use? Four administering agencies

8.8 Have you changed any local administering agencies in the last year?

No

8.9 If so, why?

	Agency was in noncompliance with grantee requirements for LIHEAP -
--	--

	Agency is under criminal investigation
--	--

	Added agency
--	--------------

	Agency closed
--	---------------

	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

Cooling Yes

Crisis Yes

Are there exceptions? Yes

If yes, Describe.

When unregulated delivery vendor is not certified, then two party checks are necessary.

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

Once this benefit amount is assigned a letter is printed and mailed to the applicant informing them of their benefit amount.

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?

Unregulated vendors don't get reimbursed without proof of fuel delivery. Regulated vendors are required to show usage that equals or exceeds the benefit payment, during the DEAP time period of October 1 - April 30. If they cannot, then the remainder of the benefit is returned to Catholic Charities.

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?

Fuel Vendor Contracts

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

Yes

If so, describe the measures unregulated vendors may take.

Fuel Vendor Discounts: many fuel vendors provide discount to approved LIHEAP households. Each year, fuel vendors must sign a contract with CC. Those vendors must indicate whether or not LIHEAP recipients will be charged a reduced price for fuel oil. Periodically, CC monitors this by telephoning the vendor to determine what the per gallon fuel rate is on the open market and compares this price with the unit cost for LIHEAP recipients. These vendors treat CC as a bulk fuel buyer although deliveries are made to multiples households instead of one location. CC reports this information

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?

DHSS/DSSC/OCS does a comprehensive financial audit and monitoring on an annual basis with LIHEAP primary contractor. Contracts used by DHSS/DSSC/OCS require that the contractor agency shall maintain complete and accurate financial/accounting records, using (GAAP) along with following LIEHAP policies and procedures, Programmatic activities are monitored regularly through reports, computer printouts and site visits to ensure contract compliance. Findings requiring corrective action are noted in a written report.

Audit Process

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

Yes

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	reporting	LIHEAP did not correctly prepare the annual Carryover & Reallotment Report for FFY ending Sept 30, 2012. The amount reported as the Projected Unobligated balance was the maximum amount allowed to be carried over, \$1,195,690 (10% of the total available funds awarded) However, First State Financials (FSF) only showed \$1,036,962 was remaining to be spent. In addition, LIHEAP during the year transferred another 10% of their funds (\$1,196,690) to DNREC to utilize but the funds had not been spent or encumbered as of the reported date. LIHEAP also incorrectly excluded this transfer from their calculation of the Projected Unobligated balance.	Yes	procedure/policy changes
2	monitoring	Noted that while LIHEAP Program abides by these monitoring requirements, the activities that are performed at Catholic Charities site visits are NOT sufficient to constitute proper monitoring since substantially all of the program is run by this subrecipients. Recommendation by auditors was that the Division enhance its current policies and procedures over subrecipient monitoring, specifically focusing on enhancing policies and procedures for site visits in order to ensure they are effectively monitoring recipients.	Yes	procedure/policy changes

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:

Local Administering Agencies / District Offices:

On - site evaluation

Annual program review

Monitoring through central database

Desk reviews

Client File Testing / Sampling

Other program review mechanisms are in place. Describe:

10.6 Explain, or attach a copy of your local agency monitoring schedule and protocol.

Annually the primary sub-grantee, Catholic Charities (CC) is audited by an internal auditor from DSSC. Throughout the year file monitoring is conducted at each individual CC locations. DNREC will be monitored by the DSSC internal auditor for FY 2014. This is an annual and fixed procedure. FSCAA and Interfaith have program files monitored annually, with 5% of selected files reviewed for compliance with established standards.

For the purpose of audit, eligibility files will be randomly selected by using Microsoft Office Excel functions that generate random numbers between the range specified. =RANDBETWEEN(range bottom, range top), which returns a random integer number between the range specified. The range of the set will be inquired from the contractor whose files are going to be audited. The set will be created from the application numbers. The sample size will be determined according to the following criteria:a) confidence level between 90% and 95%(90 and 95 included)b) margin of error 5% and 10%. Preferred criteria for sample size will be 95%. confidence level and 5% margin of error.

10.7. Describe how you select local agencies for monitoring reviews.

Site Visits:

There is No Selection process, all agencies are monitored

Desk Reviews:

There is No Selection process, all agencies are monitored

10.8. How often is each local agency monitored ?

Audited annually

10.9. What is the combined error rate for eligibility determinations? OPTIONAL

Less than 1%

10.10. What is the combined error rate for benefit determinations? OPTIONAL

Less than 1%

10.11. How many local agencies are currently on corrective action plans for eligibility and/or benefit determination issues? None

10.12. How many local agencies are currently on corrective action plans for financial accounting or administrative issues? None

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:

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

No changes as result of suggestions /comments solicited.

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	07/29/2014	LIHEAP Federal Grants Application FFY 2015 - Public hearing held at Kent County Administrative Complex., Dover, Delaware 19901

11.4. How many parties commented on your plan at the hearing(s)? 2

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

LIHEAP Town Hall Meeting

July 29, 2014 - 10:30 AM

Attendees:

- OCS - Robert Broesler, Häly Laasme McQuilkin, Ed Leung, Cindy O'Neil
- Interfaith Community Housing of Delaware - Caren Turner, Kathy Dorsey

Robert opened the meeting with a welcome to the Vendors who attended

Caren's questions and comments:

- How will LIHEAP be administered in New Castle County and suggested that Interfaith might have access to the same system as Catholic Charities (CAPS) instead of doing paper applications. This would make it easier for Interfaith to input information as well as accessibility to client information. Briefly, what can OCS do to give access to the data in CAPS system?
- Interfaith has started to go out to various sites to complete applications for their programs but are finding that many applicants do not have Social Security cards

and/or Birth Certificates.

- Some barriers exist. i.e. grandparent with grandchildren. The invoice may be in one name while the application is in a different name.
- Is it income if someone gets utility assistance?

The OCS Staff will be looking into these questions and comments in the near future with an eye to resolving the issues.

Meeting adjourned 11:30 AM.

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

No changes

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? None

12.2 How many of those fair hearings resulted in the initial decision being reversed? None

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.

1. **Procedures to follow upon request for Fair Hearing by DEAP applicant/client.**

1. Clearly explain the basis for questioned decisions or actions to DEAP applicant/client;
2. Explain his/her rights and the Fair Hearing proceedings to the applicant/client;
3. Provide the necessary forms and explain to the applicant/client how to file his appeal, and, if necessary, how to fill out the forms; and
4. Advise the applicant/client that he may be represented by an attorney, relative, friend or other spokesperson and explain that he may contact his local bar association to locate the legal services available in the county.
5. Ten (10) days from the date of written notice of a decision or action by a contractor agency.
6. Thirty (30) days from the date of any decision or action by a contractor agency or service provider when they did not send written notice because such notice was not required, thirty (30) days from their failure to act.

1. **Time limitations on right to appeal.** An applicant/client must exercise his right to appeal within certain time limits. Appeals which do not meet the following time limitations will be dismissed without a hearing:

Time limit from or the date of request for a fair hearing to a decision will be forty-five (45) days.

12.5 When and how are applicants informed of these rights?

The letter to the applicant informing them that they are denied a benefit also notifies them of his/her "right" to a fair hearing and lists the procedures to be followed by the applicant requesting such hearing.

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

All applicants requesting LIHEAP assistance under each of the components are notified that they have the right to a fair hearing if their claims for assistance under this program are denied or are not acted upon with reasonable promptness. The application, which must be signed by the LIHEAP applicant, includes a written statement notifying households of their right to a fair hearing which is read to the applicant by the intake worker.

12.7 When and how are applicants informed of these rights?

All completed applications must be acted upon within 5 working days of completion, provided funds are available. The exception is for crisis assistance where completed applications must be acted upon within 48 hours.

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?

The **Energy Challenge** campaign will raise awareness of energy conservation by focusing on five (5) no cost energy saving tips and five (5) low cost energy saving tips. Mid and long term goals include increased knowledge about how to save energy and money, new attitudes, and ultimately, new behaviors as concerns energy conservation.

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

LIHEAP program manager in coordination with the fiscal accounting department track and maintain spending limits related to any LIHEAP's Assurance 16 monies.

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

- 500 households received energy saving devices(Compact flourescent bulbs, Low flow aerator for sinks and showerheads, Toilet tank bank-this is a displacement bag that saves about 0.8 gallons of water per flush when installed, and after time this can add up. It is entirely safe to install, and does not damage the toilet in any way.
- 200 households were surveyed during first year of program.

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

N/A

13.5 How many households applied for these services? 1800

13.6 How many households received these services? 1800

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

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Section 14:Leveraging Incentive Program, 2607(A)

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

Yes

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

"Leveraged resources/benefits that are counted under criterion (iii) in 45 CFR 96.87(d)(2) must be identified and described in the grantee's LIHEAP plan and distributed as indicated in the plan. In addition, leveraging resources/benefits that are counted under criterion (ii) must be carried out under one or more components of the grantee's regular LIHEAP program."

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. Â§ 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	Catholic Charities Crisis Alleviation Program	Supplied by Catholic Charities	Programs are all administered by DSSC or Catholic Charities Inc, which is the grantee agency for the LIHEAP in Delaware. This enables the DEAP to effectively leverage LIHEAP funds with other resources available in the state of Delaware.
2	The Needy Family Fund	Solicits donations from citizens	Programs are all administered by DSSC or Catholic Charities Inc, which is the grantee agency for the LIHEAP in Delaware. This enables the DEAP to effectively leverage LIHEAP funds with other resources available in the state of Delaware.
3	Sussex County Fuel Fund	Donations	Programs are all administered by DSSC or Catholic Charities Inc, which is the grantee agency for the LIHEAP in Delaware. This enables the DEAP to effectively leverage LIHEAP funds with other resources available in the state of Delaware.
4	Kent/Sussex Sharing Fund	Donations with Utility Matching Funds	Programs are all administered by DSSC or Catholic Charities Inc, which is the grantee agency for the LIHEAP in Delaware. This enables the DEAP to effectively leverage LIHEAP funds with other resources available in the state of Delaware.
5	Utility Fund	State funded	Programs are all administered by DSSC or Catholic Charities Inc, which is the grantee agency for the LIHEAP in Delaware. This enables the DEAP to effectively leverage LIHEAP funds with other resources available in the state of Delaware.
6	State Funds	State funded	Programs are all administered by DSSC or Catholic Charities Inc, which is the grantee agency for the LIHEAP in Delaware. This enables the DEAP to effectively leverage LIHEAP funds with other resources available in the state of Delaware.
7	Regional Greenhouse Gas Initiative	Proceeds from Taxes on Carbon Emissions.	Programs are all administered by DSSC or Catholic Charities Inc, which is the grantee agency for the LIHEAP in Delaware. This enables the DEAP to effectively leverage LIHEAP funds with other resources available in the state of Delaware.
8	Sunoco Oil Fund	In-Kind contribution of oil	Programs are all administered by DSSC or Catholic Charities Inc, which is the grantee agency for the LIHEAP in Delaware. This enables the DEAP to effectively leverage LIHEAP funds with other resources available in the state of Delaware.
9	Good Neighbor Energy Fund	Delamarva solicits donations from their customers and matches this amount with a corporate donation from shareholder.	Programs are coordinated with the DSSC, but are neither administered by DSSC or grantee agency, Catholic Charities. However, due to the close coordination, the agencies provide reports to DSSC on how these funds were leveraged with the LIHEAP
10	Fuel Vendor Discounts	Offered by participating Fuel Vendors.	Programs are coordinated with the DSSC, but are neither administered by DSSC or grantee agency, Catholic Charities. However, due to the close coordination, the agencies provide reports to DSSC on how these funds were leveraged with the LIHEAP
11	Citizens Energy Fund	Provided by Grant from Citgo Oil	Programs are coordinated with the DSSC, but are neither administered by DSSC or grantee agency, Catholic Charities. However, due to the close coordination, the agencies provide reports to DSSC on how these funds were leveraged with the LIHEAP

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

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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:

Conferences, workshops, and other-in house sessions addressing specific training and technical assistance.

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

Policies are outlined in a vendor manual



Other - Describe:

Our contract and scope of services for both delivered products and regulated vendors explains policies.

15.2 Does your training program address fraud reporting and prevention?

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)

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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.

We have been working with our subgrantee about collection performance measures. Subgrantees have notified their contractors about the new federal requirements.

The 2015 contract of primary sub-grantee, Catholic Charities, will be including the deadline for submitting performance measurement data to the State by October 31, 2015. Furthermore, we have been working on adding a notification of collection of secondary utility data to the 2015 LIHEAP application.

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)

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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:

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:

<http://www.dhss.delaware.gov/dhss/dms/arms/reportfraud.html>

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

	Other	Applicant Only Required	Applicant Only Requested	Household Required	Household Requested	Members Required	Members Requested
1							
b. Describe any exceptions to the above policies. Undocumented applicants are done manually since the CAPS system requires a social security system number to complete an application.							
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							
Verify SSNs with Social Security Administration							
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 checked="" type="checkbox"/> Match with state Department of Labor system							
Match with state and/or federal corrections system							
<input checked="" type="checkbox"/> Match with state child support system							
Verification using private software (e.g., The Work Number)							
In-person certification by staff (for tribal grantees only)							
Match SSN/Tribal ID number with tribal database or enrollment records (for tribal grantees only)							
<input checked="" type="checkbox"/> Other - Describe:							
Inability to produce a Picture ID does not result in a denial of LIHEAP assistance. However these applications must be completed manually because our computer system has no override for persons without an SSN without SSN, Birth Certificate or school records.							
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.							
Clients sign an attestation of citizenship or legal residency							
<input checked="" type="checkbox"/> Client's submission of Social Security cards is accepted as proof of legal residency							
Noncitizens must provide documentation of immigration status							
Citizens must provide a copy of their birth certificate, naturalization papers, or passport							
Noncitizens are verified through the SAVE system							
Tribal members are verified through Tribal enrollment records/Tribal ID card							
Other - Describe:							
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							
Tax statements							
<input checked="" type="checkbox"/> Zero-income statements							
Unemployment Insurance letters							
Other - Describe:							
Computer data matches:							
Income information matched against state computer system (e.g., SNAP, TANF)							
Proof of unemployment benefits verified with state Department of Labor							
<input checked="" type="checkbox"/> Social Security income verified with SSA							
Utilize state directory of new hires							

Other - Describe:
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 checked="" type="checkbox"/> Local agencies/district offices
<input checked="" type="checkbox"/> Employees must sign confidentiality agreement
Grantee employees
<input checked="" type="checkbox"/> Local agencies/district offices
<input checked="" type="checkbox"/> Physical files are stored in a secure location
Other - Describe:
17.7. Verifying the Authenticity
What policies are in place for verifying vendor authenticity? Select all that apply.
<input checked="" 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
Vendors are verified through energy bills provided by the household
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:
All vendors must provide Current Delaware Business License, and Liability Insurance.
Delaware checks the list of non-regulated vendors that sub grantee contracts with on an annual basis to provide fuel to LIHEAP eligible households. The LIHEAP administrator goes to the System for Award Management website to verify if the vendor has been placed on the suspended or debarred list for contracts with federal dollars. This helps to maintain the integrity of the vendors participating in LIHEAP
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
Data exchange with utilities that verifies:
Account ownership
Consumption
Balances
Payment history
Account is properly credited with benefit
Other - Describe:
<input checked="" type="checkbox"/> Centralized computer system/database tracks payments to all utilities
<input checked="" type="checkbox"/> Centralized computer system automatically generates benefit level
<input checked="" type="checkbox"/> Separation of duties between intake and payment approval
Payments coordinated among other energy assistance programs to avoid duplication of payments
<input checked="" type="checkbox"/> Payments to utilities and invoices from utilities are reviewed for accuracy
Computer databases are periodically reviewed to verify accuracy and timeliness of payments made to utilities
<input checked="" type="checkbox"/> Direct payment to households are made in limited cases only

Procedures are in place to require prompt refunds from utilities in cases of account closure
Vendor agreements specify requirements selected above, and provide enforcement mechanism
<input checked="" type="checkbox"/> Other - Describe: Reconciliation spreadsheet is sent to local sub grantee every June.
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 checked="" type="checkbox"/> Vendors are checked against an approved vendors list
<input checked="" type="checkbox"/> Centralized computer system/database is used to track payments to all vendors
<input checked="" type="checkbox"/> Clients are relied on for reports of non-delivery or partial delivery
Two-party checks are issued naming client and vendor
<input checked="" type="checkbox"/> Direct payment to households are made in limited cases only
Vendors are only paid once they provide a delivery receipt signed by the client
Conduct monitoring of bulk fuel vendors
<input checked="" type="checkbox"/> Bulk fuel vendors are required to submit reports to the Grantee
Vendor agreements specify requirements selected above, and provide enforcement mechanism
Other - Describe:
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 checked="" type="checkbox"/> Refer to state Inspector General
<input checked="" type="checkbox"/> Refer to local prosecutor or state Attorney General
Refer to US DHHS Inspector General (including referral to OIG hotline)
Local agencies/district offices or Grantee conduct investigation of fraud complaints from public
Grantee attempts collection of improper payments. If so, describe the recoupment process
<input checked="" type="checkbox"/> Clients found to have committed fraud are banned from LIHEAP assistance. For how long is a household banned? 3 years if paid benefits to vendor are not returned to Sub-Grantee
Contracts with local agencies require that employees found to have committed fraud are reprimanded and/or terminated
Vendors found to have committed fraud may no longer participate in LIHEAP
<input checked="" type="checkbox"/> Other - Describe: State of Delaware Auditor's Office maintains an anonymous Delaware referral site to facilitate the reporting of allegations of fraud, waste, and abuse of state government resources. 1-800-553-7283
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.BrBbr.**
- 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

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)

Delaware Department of Health and Human Services/ Division of State Service Centers

*** Address Line 1**

1901 N. DuPont Highway
Address Line 2

Address Line 3

New Castle
*** City**

De
*** State**

19720
*** 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

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

- **Delegation Letter is required if someone other than the Governor or Chairman Certified this Report.**
- **Heating component benefit matrix, if applicable**
- **Cooling component benefit matrix, if applicable**
- **Minutes, notes, or transcripts of public hearing(s).**