

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: State of Illinois			
* b. Employer/Taxpayer Identification Number (EIN/TIN): 371380174		* c. Organizational DUNS: 806811931	
* d. Address:			
* Street 1:	500 E. Monroe	Street 2:	
* City:	SPRINGFIELD	County:	SANGAMON
* State:	IL	Province:	
* Country:	United States	* Zip / Postal Code:	62701 - 1615

e. Organizational Unit:

Department Name: Department of Commerce and Economic Opportunity	Division Name: Office of Energy Assistance
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f. Name and contact information of person to be contacted on matters involving this application:

Prefix:	* First Name: Larry	Middle Name:	* Last Name: Dawson
Suffix:	Title: Deputy Director	Organizational Affiliation:	
* Telephone Number: (312) 814-260	Fax Number:	* Email: larry.dawson@illinois.gov	

* 8a. TYPE OF APPLICANT:

A: State Government

b. Additional Description:

* 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

12. Areas Affected by Funding:

13. CONGRESSIONAL DISTRICTS OF:

* a. Applicant 18	b. Program/Project:
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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 Larry Dawson		18c. Telephone (area code, number and extension)	
		18d. Email Address larry.dawson@illinois.gov	
18b. Signature of Authorized Certifying Official 		18e. Date Report Submitted (Month, Day, Year) 08/22/2014	
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
✓	Heating assistance	9/1/2014	5/31/2015
✓	Cooling assistance	7/6/2015	7/24/2015
✓	Crisis assistance	10/1/2014	05/31/2015
✓	Weatherization assistance	7/1/2014	6/30/2015

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	44.00%
Cooling assistance	6.00%
Crisis assistance	10.00%
Weatherization assistance	15.00%
Carryover to the following federal fiscal year	10.00%
Administrative and planning costs	10.00%
Services to reduce home energy needs including needs assessment (Assurance 16)	5.00%
Used to develop and implement leveraging activities	0.00%
TOTAL	100.00%

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

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

<input checked="" type="checkbox"/>	Heating assistance		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? No					
If you answered "Yes" to question 1.4, you must complete the table below and answer questions 1.5 and 1.6.					
	Heating	Cooling	Crisis	Weatherization	
TANF					
SSI					
SNAP					
Means-tested Veterans Programs					
	Program Name	Heating	Cooling	Crisis	Weatherization
Other(Specify) 1					
1.5 Do you automatically enroll households without a direct annual application? No					
If Yes, explain:					
1.6 How do you ensure there is no difference in the treatment of categorically eligible households from those not receiving other public assistance when determining eligibility and benefit amounts?					
SNAP Nominal Payments					
1.7a Do you allocate LIHEAP funds toward a nominal payment for SNAP households? No					
If you answered "Yes" to question 1.7a, you must provide a response to questions 1.7b, 1.7c, and 1.7d.					
1.7b Amount of Nominal Assistance: \$0					
1.7c Frequency of Assistance					
<input type="checkbox"/>	Once Per Year				
<input type="checkbox"/>	Once every five years				
<input type="checkbox"/>	Other - Describe:				
1.7d How do you confirm that the household receiving a nominal payment has an energy cost or need?					
Not Applicable					
Determination of Eligibility - Countable Income					
1.8. In determining a household's income eligibility for LIHEAP, do you use gross income or net income ?					
<input checked="" type="checkbox"/>	Gross Income				
<input type="checkbox"/>	Net Income				
1.9. Select all the applicable forms of countable income used to determine a household's income eligibility for LIHEAP					
<input checked="" type="checkbox"/>	Wages				
<input checked="" type="checkbox"/>	Self - Employment Income				
<input checked="" type="checkbox"/>	Contract Income				
<input checked="" type="checkbox"/>	Payments from mortgage or Sales Contracts				
<input checked="" type="checkbox"/>	Unemployment insurance				
<input checked="" type="checkbox"/>	Strike Pay				
<input checked="" type="checkbox"/>	Social Security Administration (SSA) benefits				

	Including MediCare deduction	✓	Excluding MediCare deduction
✓	Supplemental Security Income (SSI)		
✓	Retirement / pension benefits		
✓	General Assistance benefits		
✓	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		
✓	Rental income		
	Income from employment through Workforce Investment Act (WIA)		
	Income from work study programs		
✓	Alimony		
✓	Child support		
✓	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		
✓	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	150.00%

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 ?	No
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? Disconnected Households	Yes

Explanations of policies for each "yes" checked above:

Renters with utilities included in their rents have to prove their rent is greater than 30% of their income for 30 days prior to application in order to be eligible to receive benefits. In addition, the furnace component is for homeowners. Since landlords have a legal responsibility to provide heat to their tenants during the winter months, renters are not eligible for furnace assistance.

Vulnerable populations are prioritized for early application periods and process is described in Section 2.4 below.

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.

Two priority groups will be established under the 2015 Plan:

- 1- Priority I- includes seniors and disabled applicants
- 2- Priority II- includes families with children age 5 or under and households with disconnected energy services

The program will start September 1, 2014 and will be available for the Priority I applicants. Priority II applicants will be served starting October 1, 2014. The program will continue to be available until May 31, 2015 or until funding is exhausted.

The regular period will begin on November 1, 2014 for all other eligible households.

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:

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

2.6 Describe estimated benefit levels for FY 2015:

Minimum Benefit	\$100	Maximum Benefit	\$861
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2.7 Do you provide in-kind (e.g., blankets, space heaters) and/or other forms of benefits? No

If yes, describe.

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

Section 3 - COOLING ASSISTANCE

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
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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	150.00%

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 ?	Yes

Do you give priority in eligibility to:

Elderly?	Yes
Disabled?	Yes
Young children?	Yes
Households with high energy burdens ?	No
Other? Households with medical conditions	Yes

Explanations of policies for each "yes" checked above:

Renters are not eligible for a cooling benefit.

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

The Cooling Program is only available to vulnerable population such as seniors, disabled, families with children under the age of 6 and those with medical conditions that could be aggravated due to exposure of extreme heat.

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

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

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

A flat \$150 benefit amount is given to all eligible cooling households.

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

3.6 Describe estimated benefit levels for FY 2015:

Minimum Benefit	\$150	Maximum Benefit	\$150
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3.7 Do you provide in-kind (e.g., fans, air conditioners) and/or other forms of benefits? No

If yes, describe.

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

Section 4 - CRISIS ASSISTANCE

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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	150.00%

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

In the event of a weather-related natural disaster or extreme weather conditions, the Illinois Department of Commerce and Economic Opportunity (DCEO) will develop an appropriate response designated to eliminate the threat to life and health. Under such condition, the Department may utilize a portion of 2015 LIHEAP funding to provide emergency (crisis) assistance to low-income household affected by the extreme weather condition.

Emergency assistance will be provided only after a household has actually been disconnected by the utility from its primary heat source, its cooling source if medical conditions require cooling, or any secondary energy source that is heat-related, or when disconnection of the heat or cooling source in such cases is imminent. Disconnection will be considered imminent when disconnection would occur within seven days without the provision of emergency assistance. Emergency service funds may also be used to prevent disconnection where the household has a documented life-threatening medical condition.

During emergency period declared by the Department due to extreme weather conditions, emergency assistance will be provided within 48 hours from the date the client application is complete (all client documentation has been submitted), or within 18 hours in the event of a life-threatening situation affecting an individual household. If the Department has not declared an emergency period or the Department has announced that the emergency period is no longer in effect, emergency assistance may be provided, although it may not be provided within 48 hours.

Emergency assistance will not be made on behalf of a household unless the household makes a good-faith effort to pay its home energy bills. If payment history does not demonstrate good faith, the applicant will be required to pay an additional \$75 to the utility or utilities that would receive the LIHEAP payment(s). The \$75 must be paid in cash or money order at an authorized payment center within 15 days if the GFE notice. During the emergency period, special attention will be placed on household with extreme hardships that would not be able to pay the GFE amount. Local agencies may waive or contact local resources such as Catholic Charities, Salvation Army and other local fund sources to arrange for GFE payment.

Furnace assistance will be provided to households that qualify for emergency assistance, but do not have an operating furnace or heating supply for their residence. Furnace benefits, which include tune-up, repair, or replacement will be utilized to restore a vital heat supply to the home. The furnace assistance component will be operated by the LAAs' weatherization program listed in Appendix B, which are uniquely situated to define and develop individualized responses to energy-related emergencies.

4.3 What constitutes a life-threatening crisis?

When the Department declares an emergency, Reconnection Assistance applications must be approved or denied within 48 hours after the application is complete. If the disconnection has caused a life-threatening situation or if there is a medical condition that could be aggravated by exposure to extreme temperatures, the application approval and vendor notification must occur within 18 hours of a completed application.

Each agency is required to develop specific written procedures to implement the 18-hour provision in an equitable manner.

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? No

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?	No
Other?	No
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?	Yes
Other?	
Do you have additional / differing eligibility policies for:	
Renters?	No
Renters living in subsidized housing?	No
Renters with utilities included in the rent?	Yes
Explanations of policies for each "yes" checked above:	
<p>The Illinois Department of Commerce and Economic Opportunity must set aside a portion of the State's allocation for use in emergency situations. Under this component, funds may be used for either weather or supply emergencies that affect the entire eligible population or for emergency related situations that affect an individual household to the extent funds are available.</p> <p>In the event of a weather-related natural disaster or extreme weather conditions, the Illinois Department of Commerce and Economic Opportunity will develop an appropriate response designed to eliminate the threat to life and health. Under such condition, the Department may utilize a portion of 2015 LIHEAP funding to provide emergency (crisis) assistance to low-income households affected by the extreme weather condition. This assistance will be limited to energy-related crisis activities, such as pledges of payment to utilities, replacement of fuel tanks, heating system, purchase of fans, operation or support of local cooling centers, coordination with local social service agencies, air conditioners (where medically necessary), etc.</p> <p>Emergency assistance will be provided only after a household has actually been disconnected by the utility from its primary heat source, its cooling source if medical conditions require cooling, or any secondary energy source that is heat-related, or when disconnection of the heat or cooling source in such cases is imminent. Disconnection will be considered imminent when disconnection would occur within seven days without the provision of emergency assistance. Emergency service funds may also be used to prevent disconnection where the household has a documented <u>life-threatening</u> medical condition.</p> <p>During emergency periods declared by the Department due to extreme weather conditions, Emergency assistance will be provided within 48 hours from the date the client application is complete (all client documentation has been submitted), or within 18 hours in the event of a life-threatening situation affecting an individual household. If the Department has not declared an emergency period or the Department has announced that the emergency period is no longer in effect, Emergency assistance may be provided, although it may not be provided within 48 hours.</p> <p>Emergency assistance will not be made on behalf of a household unless the household makes a good-faith effort to pay its home energy bills. If payment history does not demonstrate good faith, the applicant will be required to pay an additional \$75 to the utility or utilities that would receive the LIHEAP payment(s). The \$75 must be paid in cash or money order at an authorized payment center within 15 days of the GFE notice. During the emergency period, special attention will be placed on households with extreme hardships that would not be able to pay the GFE amount. Local agencies may waive or contact local resources such as Catholic Charities, Salvation Army and other local fund sources to arrange for GFE payment.</p> <p>Furnace assistance will be provided to households that qualify for emergency assistance, but do not have an operating furnace or heating supply for their residence. Furnace benefits, which include tune-up, repair, or replacement will be utilized to restore a vital heat supply to the home. The furnace assistance component will be operated by LAAs' weatherization program listed in Appendix B, which are uniquely situated to define and develop individualized responses to energy-related emergencies.</p> <p>The emergency application period will begin on October 1 for disconnected households and will continue to be available until May or until funding is exhausted. At the discretion of the Local Administering Agencies, disconnected households may be served earlier than October. Households will be eligible for Emergency assistance during their priority period, with the exception of non-priority households. Non-priority households who are disconnected will be eligible to apply for Emergency assistance on October 1.</p>	
Determination of Benefits	
4.8 How do you handle crisis situations?	
<input checked="" type="checkbox"/>	Separate component
<input type="checkbox"/>	Fast Track
<input type="checkbox"/>	Other - Describe:
4.9 If you have a separate component, how do you determine crisis assistance benefits?	

✓	Amount to resolve the crisis.
	Other - Describe: Up to a 1,000 per household per program year

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.

Permanent or temporary outreach sites should be located in all sections of the LAA's service area. They should be visible at the community level and be transportation and building accessible to persons with disabilities. Possible outreach/intake sites may include agency central and satellite offices, senior centers, nutrition sites, government offices, churches or community facilities. Preference should be made for sites that accommodate automated intake with LIHEAP.net.

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?

Yes 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 \$1,000 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?

No If yes, Describe

4.14 Do you provide for equipment repair or replacement using crisis funds?

Yes

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?

Yes

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.

No electric or gas public utility shall disconnect service to any residential customer or master-metered apartment building for nonpayment of a bill or deposit where gas or electricity is used as the primary source of space heating or is used to control or operate the primary source of space heating equipment at the premise during the period of time from December 1 through and including March 31 of the immediately succeeding calendar year.

In order to enable customers to take advantage of energy assistance programs, customers who can demonstrate that their applications for a local, state or federal energy assistance program have been approved may request that the amount they will be entitled to receive as a regular energy assistance payment be deducted and set aside from the amount past due on which they make deferred payment arrangements. Payment on the set-aside amount will be credited when the energy assistance voucher or check is received, according to the utility's common business practice.

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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 MODEL PLAN
 SF - 424 - MANDATORY**

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	150.00%

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

5.3 If yes, name the agency.

5.4 Is there a separate monitoring protocol for weatherization?Yes

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 Yes

Renters living in subsidized housing? Yes

5.8 Do you give priority in eligibility to:

Elderly? Yes

Disabled? Yes

Young Children? Yes

House holds with high energy burdens? Yes

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.

IHWAP applications are taken on a first-come, first served basis, but income eligible households with high heating bills, in relation to income, and those containing elderly members (60 and over), persons with a disability, or young children (5 years of age or below) will be given priority and weatherization services first.

Benefit Levels

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

5.10 If yes, what is the maximum? \$10,000

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

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

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

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

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):

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

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

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.).

✓	Joint application for multiple programs
✓	Intake referrals to/from other programs
✓	One - stop intake centers
	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

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**

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 checked="" type="checkbox"/>	Commerce Agency
<input type="checkbox"/>	Community Services Agency
<input type="checkbox"/>	Energy / Environment Agency
<input type="checkbox"/>	Housing Agency
<input type="checkbox"/>	Welfare Agency
<input 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?

The State of Illinois will conduct outreach/education and intake activities designated to assure that eligible households, especially households with elderly individuals or disabled individuals or both, are made aware of different types of federal assistance available. Outreach will be coordinated statewide by the Illinois Department of Commerce and Economic Opportunity in cooperation with our statewide network of Local Administering Agencies (LAAs) and community-based organizations.

Coordination will include a supportive relationship with the Illinois Home Weatherization Assistance Program (IHWAP) that is funded in part by the Department of Energy. It is also anticipated that utility vendors will actively promote the program again this year along with efforts of the Illinois Department of Commerce and Economic Opportunity and other agencies and the network of LAAs.

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

The State of Illinois will conduct outreach/education and intake activities designated to assure that eligible households, especially households with elderly individuals or disabled individuals or both, are made aware of different types of federal assistance available. Outreach will be coordinated statewide by the Illinois Department of Commerce and Economic Opportunity in cooperation with our statewide network of Local Administering Agencies (LAAs) and community-based organizations.

Coordination will include a supportive relationship with the Illinois Home Weatherization Assistance Program (IHWAP) that is funded in part by the Department of Energy. It is also anticipated that utility vendors will actively promote the program again this year along with efforts of the Illinois Department of Commerce and Economic Opportunity and other agencies and the network of LAAs.

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

The State of Illinois will conduct outreach/education and intake activities designated to assure that eligible households, especially households with elderly individuals or disabled individuals or both, are made aware of different types of federal assistance available. Outreach will be coordinated statewide by the Illinois Department of Commerce and Economic Opportunity in cooperation with our statewide network of Local Administering Agencies (LAAs) and community-based organizations.

Coordination will include a supportive relationship with the Illinois Home Weatherization Assistance Program (IHWAP) that is funded in part by the Department of Energy. It is also anticipated that utility vendors will actively promote the program again this year along with efforts of the Illinois Department of Commerce and Economic Opportunity and other agencies and the network of LAAs.

8.5 LIHEAP Component Administration.	Heating	Cooling	Crisis	Weatherization
---	----------------	----------------	---------------	-----------------------

8.5a Who determines client eligibility?	Community Action Agencies	Community Action Agencies	Community Action Agencies	Community Action Agencies
8.5b Who processes benefit payments to gas and electric vendors?	Community Action Agencies	Community Action Agencies	Community Action Agencies	
8.5c who processes benefit payments to bulk fuel vendors?	Community Action Agencies	Community Action Agencies	Community Action Agencies	
8.5d Who performs installation of weatherization measures?				Community Action Agencies

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?

To be eligible for financial assistance, a local agency must submit a request for proposal to the Department for an application for funding. Applications must include the following four areas:

- 1- An effective outreach referral program (evidenced by services to clients in accordance with their incidence in the census-based client population of the service area);
- 2- A continuing planning process and capability (evidenced by demonstrated applicant staff capability to complete federal and/or state grant applications and reporting documents containing qualitative and quantitative objectives);
- 3- An accounting system in accordance with generally accepted accounting principles of the American Institute of Certified Public Accountants (AICPA) (1989);
- 4- An effective citizen participation/community involvement program

The Department will give special consideration in the designation of such agencies, to any local public or private nonprofit agency that 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: (1) the state shall, before giving such special consideration, determine that the agency involved meets program and fiscal requirements established by the state; and (2) 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 LAAs to any successor agency that is operated in substantially the same manner as the predecessor agency that did receive funds for the fiscal year preceding the fiscal year for which the determination is made.

8.7 How many local administering agencies do you use? 35

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

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: 04/30/2014

LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP)
MODEL PLAN

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.

If a vendor has refused to sign a vendor agreement, the LAA will attempt to find an alternate participating vendor for the household. If this is impossible or no alternate vendor is available, the energy assistance benefit will be made directly to the household.

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

Eligible households will receive written notification from the LAA as to the amount of assistance provided on their behalf to a home energy vendor.

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?

Prior to the receipt of funds under the Plan, home energy vendors will be required to sign a written agreement that will guarantee Assurances 2 through 5. The Department will periodically monitor the agreements signed by ICC regulated utilities and the LAA network will monitor unregulated utilities and delivered fuel vendor agreements.

If the vendor refuses to sign the agreement, the LAA will attempt to find an alternate participating vendor for the household. If this is impossible or no alternate vendor is available, the energy assistance payment will be made directly to the household.

In the weatherization component, no payments are made to energy vendors.

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?

Prior to the receipt of funds under the Plan, home energy vendors will be required to sign a written agreement that will guarantee Assurances 2 through 5. The Department will periodically monitor the agreements signed by ICC regulated utilities and the LAA network will monitor unregulated utilities and delivered fuel vendor agreements.

If the vendor refuses to sign the agreement, the LAA will attempt to find an alternate participating vendor for the household. If this is impossible or no alternate vendor is available, the energy assistance payment will be made directly to the household.

In the weatherization component, no payments are made to energy vendors.

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

No

If so, describe the measures unregulated vendors may take.

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

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

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**

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

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

The State of Illinois ensures that fiscal control and fund accounting procedures are established and maintained as may be necessary to ensure the proper receipt and disbursement of federal funds paid to the state. This includes procedures for regularly monitoring the assistance provided under this Title and providing that the state shall have a single audit conducted according to OMB circular A-133 of its expenditure of amounts received under this Title and amounts transferred to carry out the purposes of this Title.

All local agencies are required to maintain an integrated accounting system that provides for accountability of public funds and meets the requirements of OMB Circulars A-110, Common Rule, A-87, A-133, and A-122 as applicable. In addition to the ongoing financial evaluation, the Illinois Department of Commerce and Economic Opportunity's grants management staff in the Office of Energy Assistance closely monitors the programmatic and fiscal activities of all local agencies or other entities carrying out the energy assistance, emergency assistance, and weatherization components of this Plan.

The Department's Office of Financial Management is available to provide training and technical assistance to the agencies in the structuring and implementation of their fiscal management systems. This includes ongoing help in establishing integrated accounting and cost allocation systems.

The Auditor General of the State of Illinois (OAG), conducts an annual statewide single audit in accordance with auditing standards generally accepted in the United States of America, *Government Auditing Standards*, Single Audit Act Amendments of 1996, and OMB Circular A-133. The OAG submits the annual statewide single audit to the Federal Audit Clearinghouse and to the Illinois Legislative Audit Commission.

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	DCEO used cash basis amounts adjusted for in-transits for financial reports (SCO-563) and should have used cash basis only. LIHEAP reporting was off \$30,000 on a base of \$205 million Link to FY13 Single Audit for Illinois: http://www.auditor.illinois.gov/Audit-Reports/Performance-Special-Multi/Statewide-Single-Audit/FY13-Single-Audit-Full.pdf	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.
See Initial and Final Monitoring Tools
10.7. Describe how you select local agencies for monitoring reviews.
Site Visits: All 35 Local Administering Agencies are monitored once/twice per program year
Desk Reviews: All 35 Local Administering Agencies are reviewed during the program year
10.8. How often is each local agency monitored ? At least once per program year
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? 0
10.12. How many local agencies are currently on corrective action plans for financial accounting or administrative issues? 1
If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.

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

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**

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?

Cash gifts and VA benefits were included as countable income

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	8/12/2014	Public Hearing to receive comments on the draft of the 2015 LIHEAP State Plan. Meetings were held in Chicago and Springfield offices.

11.4. How many parties commented on your plan at the hearing(s)? 0

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

No comments were received during the public hearing

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

No comments were received during the public hearing

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

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

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? 1

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

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

None

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

The Illinois Department of Commerce and Economic Opportunity ("Department") developed a system that provides an opportunity for a fair resolution process to households, whose claims for assistance under this Plan (including claims for weatherization assistance) are denied or are not acted upon with reasonable time. The resolution process includes three levels of review: The informal conference process conducted at the Local Administering Agency ("LAA") level; Review of the LAA decision at the State/Department's programmatic level review; and, the formal administrative hearing through the Department's administrative hearing rules (56 Ill Adm. Code 2605).

Informal Conference Review Process

The LAA shall designate a hearing officer to conduct the informal conference. The informal conference is designed to ensure the claimant understands the actions taken or the reason for delay. At the end of the informal conference, the LAA will give the claimant a written statement at the end of the conference describing the result of the conference and citing the policy reasons for the decision. A copy of this report must be filed in the applicant's file. In the event the claimant is not satisfied with the informal conference determination, the claimant may request a review at the Department's programmatic level by filing a Request for State Review with the Department within thirty (30) days of the informal conference determination. All informal conference determinations will contain a Request for State Review form attached to the determination.

State/Department Programmatic Level Review

The Department shall designate a staff person to conduct the programmatic level review. During this process, the Department will review the claimant's file and the informal conference review determination. Upon review, the Department will issue a determination, which will be sent to the claimant within fifteen (15) business days from the date of the request for review. If the claimant is not satisfied with this determination, he/she have thirty (30) days to submit a petition for hearing to the Department's Office of General Counsel in accordance with the Department's administrative hearing rules found at 56 Ill Adm. Code 2605. The administrative hearing rules can be obtained from the ilga.gov website or upon request to the Department.

Formal Administrative Hearing

If the claimant is not satisfied with the Department's programmatic level determination, the claimant must follow the Department administrative hearing rules set forth at 56 Ill Adm. Code 2605 and file a petition for hearing within thirty (30) days of the State/Department's determination.

12.5 When and how are applicants informed of these rights?

Applicants are informed of their appeal rights when they submit an application.

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

The Illinois Department of Commerce and Economic Opportunity ("Department") developed a system that provides an opportunity for a fair resolution process to households, whose claims for assistance under this Plan (including claims for weatherization assistance) are denied or are not acted upon with reasonable time. The resolution process includes three levels of review: The informal conference process conducted at the Local Administering Agency ("LAA") level; Review of the LAA decision at the State/Department's programmatic level review; and, the formal administrative hearing through the Department's administrative hearing rules (56 Ill Adm. Code 2605).

Informal Conference Review Process

The LAA shall designate a hearing officer to conduct the informal conference. The informal conference is designed to ensure the claimant understands the actions taken or the reason for delay. At the end of the informal conference, the LAA will give the claimant a written statement at the end of the conference describing the result of the conference and citing the policy reasons for the decision. A copy of this report must be filed in the applicant's file. In the event the claimant is not satisfied with the informal conference determination, the claimant may request a review at the Department's programmatic level by filing a Request for State Review with the Department within thirty (30) days of the informal conference determination. All informal conference determinations will contain a Request for State Review form attached to the determination.

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The Department shall designate a staff person to conduct the programmatic level review. During this process, the Department will review the claimant's file and the informal conference review determination. Upon review, the Department will issue a determination, which will be sent to the claimant within fifteen (15) business days from the date of the request for review. If the claimant is not satisfied with this determination, he/she have thirty (30) days to submit a petition for hearing to the Department's Office of General Counsel in accordance with the Department's administrative hearing rules found at 56 Ill Adm. Code 2605. The administrative hearing rules can be obtained from the ilga.gov website or upon request to the Department.

Formal Administrative Hearing

If the claimant is not satisfied with the Department's programmatic level determination, the claimant must follow the Department administrative hearing rules set forth at 56 Ill Adm. Code 2605 and file a petition for hearing within thirty (30) days of the State/Department's determination.

12.7 When and how are applicants informed of these rights?

Applicants are informed of their appeal rights when they submit an application for energy assistance.

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

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

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 Department conducts LIHEAP client education and counseling during the program and at the time of application. This counseling will encourage and enable LIHEAP households to reduce the cost of their home energy through energy conservation and energy lifestyle (behavioral) modifications. This will potentially lower the household's energy cost and reduce the need for energy assistance.

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

The maximum allowable expenditure amount is limited in each LAA's grant by line item, which prevents expenditure of more than 5% of the grant amount on Assurance 16 activities. This also prevents cumulative Assurance 16 expenditures for the entire grant to Illinois from exceeding the allowable 5%.

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

The Department is enhancing its data sharing agreements with energy vendors to more accurately determine energy burden. Once the enhancements are completed, the Department can assess energy burden changes among previously served households.

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

The average benefit amount provided during the 2014 heating assistance season was \$586. In addition, energy conservation education was provided to all LIHEAP applicants. The following energy conservation items were provided: energy conservation pamphlets, applicants watched an energy conservation video in intake waiting areas and energy conservation kits were provided.

13.5 How many households applied for these services? 362,924

13.6 How many households received these services? 334,191

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

Section 14 - Leveraging Incentive Program ,2607A

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

August 1987, revised 05/92,02/95,03/96,12/98,11/01
 OMB Clearance No.: 0970-0075
 Expiration Date: 06/30/2017

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

Section 14:Leveraging Incentive Program, 2607(A)

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

Yes

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

If leveraging funds are made available, DCEO will instruct third parties and/or local agencies to submit the financial and clients served of any leverage eligible activities they performed during the respective fiscal year, as well as details regarding the nature and operation of the program(s). DCEO will also instruct them to maintain proper documentation necessary to verify the expenditures and clients served information submitted.

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	Direct energy assistance payment or bill credit	Fuel funds, charitable contributions	Supplement to LIHEAP, operated by LAAs to assist clients whose need exceeds the normal LIHEAP benefits
2	Direct energy assistance payment	State Supplemental Fund	Supplement to LIHEAP to assist more low-income families in need of energy assistance

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

Section 15 - Training

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

August 1987, revised 05/92,02/95,03/96,12/98,11/01
 OMB Clearance No.: 0970-0075
 Expiration Date: 06/30/2017

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

Section 15: Training

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

a. Grantee Staff:

Formal training on grantee policies and procedures

How often?

Annually

Biannually

As needed

Other - Describe:

Employees are provided with policy manual

Other-Describe:

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:

15.2 Does your training program address fraud reporting and prevention?

Yes

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

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

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

August 1987, revised 05/92,02/95,03/96,12/98,11/01
OMB Clearance No.: 0970-0075
Expiration Date: 06/30/2017

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

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

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

The Department has been working with our Office of Information Management and utilities to add new data requirements to our application process and building a platform for data exchange between the Department and the utilities. The new data included in the application process will be available starting in September 1. The data exchange will be available in December of 2014. In addition, vendor agreements are being revised to include the Performance Measures data requirement.

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

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

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

August 1987, revised 05/92,02/95,03/96,12/98,11/01
OMB Clearance No.: 0970-0075
Expiration Date: 06/30/2017

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

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

17.1 Fraud Reporting Mechanisms

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

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

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

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

17.2. Identification Documentation Requirements

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

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

b. Describe any exceptions to the above policies.

Hard copy proof must be obtained and may include a copy of the social security

card itself, a letter or print out from Social Security Administration, or any other form of

government-issued identification that shows both name and Social Security number. Household members under the age of 1 are not required to have social security cards.

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

Match SSNs with state eligibility/case management system (e.g., SNAP, TANF)

Match with state Department of Labor system

Match with state and/or federal corrections system

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)

Other - Describe:

The State LIHEAP office has an interagency agreement with the Illinois Department of Human Services for investigative and eligibility verification purposes, such as: 1- identify fraudulent use of SSNs through comparison, 2-investigate intake staff error and make the appropriate corrections and determine if errors exist by comparing households information between the DHS database and the Illinois LIHEAP database.

The LIHEAP.net database system (State LIHEAP database) tracks and retains all household membership information. The system, does not allow duplication in any program year for a specific household member to be entered as a new application. In addition, duplicate benefits are prevented at both an individual member and vendor/account combination level.

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

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.

Require documentation of income for all adult household members

Pay stubs

Social Security award letters

Bank statements

Tax statements

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
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
Employees must sign confidentiality agreement
Grantee employees
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
<input checked="" type="checkbox"/> Vendors are verified through energy bills provided by the household
Grantee and/or local agencies/district offices perform physical monitoring of vendors
Other - Describe and note any exceptions to policies above:

17.8. Benefits Policy - Gas and Electric Utilities
What policies are in place to protect against fraud when making benefit payments to gas and electric utilities on behalf of clients? Select all that apply.
<input checked="" type="checkbox"/> Applicants required to submit proof of physical residency
<input checked="" type="checkbox"/> Applicants must submit current utility bill
<input checked="" type="checkbox"/> Data exchange with utilities that verifies:
<input checked="" type="checkbox"/> Account ownership
Consumption
<input checked="" type="checkbox"/> Balances
<input checked="" type="checkbox"/> 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

<input checked="" type="checkbox"/> Procedures are in place to require prompt refunds from utilities in cases of account closure
<input checked="" type="checkbox"/> Vendor agreements specify requirements selected above, and provide enforcement mechanism
Other - Describe:

17.9. Benefits Policy - Bulk Fuel Vendors

What procedures are in place for averting fraud and improper payments when dealing with bulk fuel suppliers of heating oil, propane, wood, and other bulk fuel vendors? Select all that apply.

<input type="checkbox"/> Vendors are checked against an approved vendors list
<input 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
<input checked="" type="checkbox"/> Two-party checks are issued naming client and vendor
<input checked="" type="checkbox"/> Direct payment to households are made in limited cases only
<input type="checkbox"/> Vendors are only paid once they provide a delivery receipt signed by the client
<input type="checkbox"/> Conduct monitoring of bulk fuel vendors
<input type="checkbox"/> Bulk fuel vendors are required to submit reports to the Grantee
<input checked="" type="checkbox"/> Vendor agreements specify requirements selected above, and provide enforcement mechanism

Other - Describe:

All new regulated and unregulated vendors must provide a Federal Employer Identification Number (FEIN) and must sign a vendor agreement. A list of these vendors is provided to each agency. LIHEAP.net (State LIHEAP database) verifies the utility FEIN through regular verification transactions. At intake, documentation required for the program is the most current utility bill where the applicant's address is listed. Agencies are required to enter the application data in real time. The vendors confirm the applicant's service address through LIHEAP.net system. Verifiers at the local agency verify the data that has been entered in the system and compares it against the documentation provided by the client. Every approved LIHEAP client receives an approval letter indicating the benefit amount that will be applied to the energy provider(s).

17.10. Investigations and Prosecutions

Describe the Grantee's procedures for investigating and prosecuting reports of fraud, and any sanctions placed on clients/staff/vendors found to have committed fraud. Select all that apply.

<input type="checkbox"/> Refer to state Inspector General
<input type="checkbox"/> Refer to local prosecutor or state Attorney General
<input type="checkbox"/> Refer to US DHHS Inspector General (including referral to OIG hotline)
<input checked="" type="checkbox"/> Local agencies/district offices or Grantee conduct investigation of fraud complaints from public
<input checked="" type="checkbox"/> Grantee attempts collection of improper payments. If so, describe the recoupment process
Once it is determined that improper payments have been made, LAAs must request refunds of the LIHEAP benefits from the energy vendors. If the energy vendor is unable to refund the energy payment, the State LIHEAP office will begin a recoupment process with the household.
<input type="checkbox"/> Clients found to have committed fraud are banned from LIHEAP assistance. For how long is a household banned?
<input type="checkbox"/> Contracts with local agencies require that employees found to have committed fraud are reprimanded and/or terminated
<input type="checkbox"/> Vendors found to have committed fraud may no longer participate in LIHEAP
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 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)

500 E Monroe

*** Address Line 1**

Address Line 2

Address Line 3

Springfield

*** City**

IL

*** State**

62701

*** 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).**