

# 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

<b>* 1.a. Type of Submission:</b> Plan	<b>* 1.b. Frequency:</b> Annual	<b>* 1.c. Consolidated Application/Plan/Funding Request?</b>  <b>Explanation:</b>	<b>* 1.d. Version:</b> Initial
		<b>2. Date Received:</b>	<b>State Use Only:</b>
		<b>3. Applicant Identifier:</b>	
		<b>4a. Federal Entity Identifier:</b>	<b>5. Date Received By State:</b>
		<b>4b. Federal Award Identifier:</b>	<b>6. State Application Identifier:</b>

#### 7. APPLICANT INFORMATION

<b>* a. Legal Name:</b> Commonwealth of Kentucky			
<b>* b. Employer/Taxpayer Identification Number (EIN/TIN):</b> 61-0600439		<b>* c. Organizational DUNS:</b> 927049767	
<b>* d. Address:</b>			
<b>* Street 1:</b>	275 East Main Street, 3E-I	<b>Street 2:</b>	
<b>* City:</b>	Frankfort	<b>County:</b>	Franklin
<b>* State:</b>	KY	<b>Province:</b>	
<b>* Country:</b>	United States	<b>* Zip / Postal Code:</b>	40601 - 2321

#### e. Organizational Unit:

<b>Department Name:</b> Department for Community Based Services	<b>Division Name:</b> Division of Family Support
--	---

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

<b>Prefix:</b>	<b>* First Name:</b> Sharon	<b>Middle Name:</b>	<b>* Last Name:</b> Vinyard
<b>Suffix:</b>	<b>Title:</b> LIHEAP Coordinator	<b>Organizational Affiliation:</b>	
<b>* Telephone Number:</b> (502) 564-3440 Ext. 3693	<b>Fax Number:</b> 502-564-4021	<b>* Email:</b> sharon.vinyard@ky.gov	

#### \* 8a. TYPE OF APPLICANT:

A: State Government

#### b. Additional Description:

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

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

#### 11. Descriptive Title of Applicant's Project

N/A


#### 12. Areas Affected by Funding:

Statewide

#### 13. CONGRESSIONAL DISTRICTS OF:

<b>* a. Applicant</b> 6	<b>b. Program/Project:</b> Statewide
----------------------------	---

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

<b>14. FUNDING PERIOD:</b>		<b>15. ESTIMATED FUNDING:</b>	
<b>a. Start Date:</b> 10/01/2014	<b>b. End Date:</b> 09/30/2015	<b>* a. Federal (\$):</b> \$0	<b>b. Match (\$):</b> \$0
<b>* 16. IS SUBMISSION SUBJECT TO REVIEW BY STATE UNDER EXECUTIVE ORDER 12372 PROCESS?</b>			
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.			
<b>* 17. Is The Applicant Delinquent On Any Federal Debt?</b>			
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)			
<b>**I Agree</b> ✓			
<b>** 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.</b>			
<b>18a. Typed or Printed Name and Title of Authorized Certifying Official</b> Virginia Carrington		<b>18c. Telephone (area code, number and extension)</b> ( 502) 564- 3440 Ext.	
		<b>18d. Email Address</b> virginia.carrington@ky.gov	
<b>18b. Signature of Authorized Certifying Official</b> 		<b>18e. Date Report Submitted (Month, Day, Year)</b> 08/27/2014	
<b>Attach supporting documents as specified in agency instructions.</b>			

## Section 1 - Program Components

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

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

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

Department of Health and Human Services  
Administration for Children and Families  
Office of Community Services  
Washington, DC 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	11/03/2014	12/11/2014
	Cooling assistance		
✓	Crisis assistance	01/12/2015	03/31/2015
✓	Weatherization assistance	07/01/2014	06/30/2015

**Provide further explanation for the dates of operation, if necessary**

\*\*Cooling assistance is offered only when the state receives LIHEAP emergency cooling funds, or it is determined that weather climate dictates that a cooling program is necessary for the health and safety of the citizens of the commonwealth.

**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	45.70%
Cooling assistance	0.00%
Crisis assistance	30.64%
Weatherization assistance	13.50%
Carryover to the following federal fiscal year	0.00%
Administrative and planning costs	10.00%
Services to reduce home energy needs including needs assessment (Assurance 16)	0.08%
Used to develop and implement leveraging activities	0.08%
<b>TOTAL</b>	<b>100.00%</b>

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 type="checkbox"/>	Heating assistance	<input type="checkbox"/>	Cooling assistance
<input type="checkbox"/>	Weatherization assistance	<input checked="" type="checkbox"/>	Other (specify): Funds may be used to extend Crisis through March 31 or obligated for heating assistance for the next program year.

**Categorical Eligibility, 2605(b)(2)(A) - Assurance 2, 2605(c)(1)(A), 2605(b)(8A) - Assurance 8**

**1.4 Do you consider households categorically eligible if one household member receives one of the following categories of benefits in the left column below? Yes**

**If you answered "Yes" to question 1.4, you must complete the table below and answer questions 1.5 and 1.6.**

	Heating	Cooling	Crisis	Weatherization
TANF	Yes	Yes	Yes	Yes
SSI	Yes	Yes	Yes	Yes
SNAP	Yes	Yes	Yes	Yes
Means-tested Veterans Programs	Yes	Yes	Yes	Yes

	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?**

Benefit amounts in every LIHEAP component are determined based on each household's income, percent of poverty, family size, and primary type of heating source. In no component is the determination of benefits based on a household being categorically eligible. Benefit amounts in the weatherization program are determined by the Dwelling Needs Evaluation and based on measures recommended by the National Energy Audit Tool (NEAT) and Manufactured Home Energy Audit (MHEA).

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?**

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			
	<table border="1"> <tr> <td>Including MediCare deduction</td> <td><input checked="" type="checkbox"/></td> <td>Excluding MediCare deduction</td> </tr> </table>	Including MediCare deduction	<input checked="" type="checkbox"/>	Excluding MediCare deduction
Including MediCare deduction	<input checked="" type="checkbox"/>	Excluding MediCare deduction		
<input checked="" type="checkbox"/>	Supplemental Security Income (SSI )			
<input checked="" type="checkbox"/>	Retirement / pension benefits			
	General Assistance benefits			
<input checked="" type="checkbox"/>	Temporary Assistance for Needy Families (TANF) benefits			
	Supplemental Nutrition Assistance Program (SNAP) benefits			
	Women, Infants, and Children Supplemental Nutrition Program (WIC) benefits			
	Loans that need to be repaid			
<input checked="" type="checkbox"/>	Cash gifts			
	Savings account balance			
<input checked="" type="checkbox"/>	One-time lump-sum payments, such as rebates/credits, winnings from lotteries, refund deposits, etc.			
<input checked="" type="checkbox"/>	Jury duty compensation			
<input checked="" type="checkbox"/>	Rental income			
	Income from employment through Workforce Investment Act (WIA)			
	Income from work study programs			
<input checked="" type="checkbox"/>	Alimony			
<input checked="" type="checkbox"/>	Child support			
	Interest, dividends, or royalties			
<input checked="" type="checkbox"/>	Commissions			
<input checked="" type="checkbox"/>	Legal settlements			
<input checked="" type="checkbox"/>	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

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

## Section 2 - HEATING ASSISTANCE

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

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

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

#### Section 2 - Heating Assistance

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

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

Add	Household size	Eligibility Guideline	Eligibility Threshold
1	All Household Sizes	HHS Poverty Guidelines	130.00%

**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 ?** Yes

**Do you have additional/differing eligibility policies for:**

<b>Renters?</b>	No
<b>Renters Living in subsidized housing ?</b>	No
<b>Renters with utilities included in the rent ?</b>	No

**Do you give priority in eligibility to:**

<b>Elderly?</b>	Yes
<b>Disabled?</b>	Yes
<b>Young children?</b>	No
<b>Households with high energy burdens ?</b>	Yes
<b>Other?</b>	

**Explanations of policies for each "yes" checked above:**

Total liquid assets cannot exceed:

1. \$2,000;
2. \$3,000, if at least one person in the household is a) age sixty (60) or older; or b) disabled; or
3. \$4,000, for a household with a member with a catastrophic illness which requires liquid resources to be readily accessed on a regular basis for living and medical expenses.

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.**

In the Subsidy Component, the highest level of assistance will be provided to households with the lowest incomes relative to federal poverty guidelines and the highest heating season energy costs. Once eligibility is established, payment to a household's fuel provider is made for the full benefit amount.

For each of the seven primary heating fuels (natural gas, electric, fuel oil, propane, kerosene, wood, and coal) an average cost for unit of fuel will be identified prior to the opening of the Subsidy application period. Based on this unit fuel cost information, an average cost will be calculated. Benefits will be structured so that the lowest poverty level households receive the highest benefits relative to fuel type. Please see the attached benefit matrix for more information.

Applicants who are 60 and above or who have disabilities and who receive a fixed income may pre-register. This pre-registration process is an option for each local Community Action Agency. During the pre-registration process, no benefits are issued until Subsidy begins.

**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:**

<b>Minimum Benefit</b>	\$34	<b>Maximum Benefit</b>	\$274
------------------------	------	------------------------	-------

**2.7 Do you provide in-kind (e.g., blankets, space heaters) and/or other forms of benefits? Yes**

**If yes, describe.**

Benefits are provided in the form of space heaters, blankets, sleeping bags, utility payments, fuel delivery, heating system repairs necessary to obtain heat, and emergency lodging. Space heaters are loaned on a temporary basis when the household's heating system is in need of a repair.

**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  
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 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	130.00%

**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 ?** Yes

**Do you have additional/differing eligibility policies for:**

<b>Renters?</b>	No
<b>Renters Living in subsidized housing ?</b>	No
<b>Renters with utilities included in the rent ?</b>	No

**Do you give priority in eligibility to:**

<b>Elderly?</b>	Yes
<b>Disabled?</b>	Yes
<b>Young children?</b>	Yes
<b>Households with high energy burdens ?</b>	Yes
<b>Other?</b>	

**Explanations of policies for each "yes" checked above:**

Please see description in Section 3.4.

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

An applicant must meet the all the regular program requirements regarding income, household size, and gross income to receive a cooling benefit.

Benefits can also be provided in the form of air condition units. To be eligible for an air conditioner, the household must meet the eligibility requirements for cooling. The household must not have or have access to an air conditioner and must meet one of the following requirements:

1. Have a member with a health condition or disability that requires cooling to prevent further deterioration as verified by a physician's statement on letterhead (Examples: persons with heart disease, asthma, severe respiratory conditions).
2. Have a member who is 65 years or older; or
3. Have a member who is under the age of six.

A household may receive both, the benefit amount and an air conditioner, if they meet the eligibility requirements

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

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

<input checked="" type="checkbox"/> <b>Income</b>
<input checked="" type="checkbox"/> <b>Family (household) size</b>
<input checked="" type="checkbox"/> <b>Home energy cost or need:</b>
<input checked="" type="checkbox"/> <b>Fuel type</b>
<b>Climate/region</b>

<b>Individual bill</b>	
<b>Dwelling type</b>	
<b>Energy burden (% of income spent on home energy)</b>	
<b>Energy need</b>	
<input checked="" type="checkbox"/> <b>Other - Describe:</b>	
Medical need is an requirement to be eligible for an air conditioner.	
Benefit Levels, 2605(b)(5) - Assurance 5, 2605(c)(1)(B)	
<b>3.6 Describe estimated benefit levels for FY 2015:</b>	
<b>Minimum Benefit</b>	\$50
<b>Maximum Benefit</b>	\$175
<b>3.7 Do you provide in-kind (e.g., fans, air conditioners) and/or other forms of benefits? Yes</b>	
<b>If yes, describe.</b>	
Air conditioners are provided as described in Section 3.4.	
<p style="color: red;">If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.</p>	

**Section 4 - CRISIS ASSISTANCE**

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES  
 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 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	130.00%

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

A household is considered to be in crisis if they meet basic LIHEAP eligibility criteria and:

1. The household has a past due/disconnect notice, if electric or natural gas is the primary heating source; or
2. The household is within four (4) days of running out of fuel if coal, wood, kerosene, fuel oil or propane is the primary heat source.

**4.3 What constitutes a life-threatening crisis?**

Life-threatening means, at the time of application, a household is or will be without heat or cooling within 18 hours and temperatures are at a dangerous level as determined by the National Weather Service.

**Crisis Requirement, 2604(c)**

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

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

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

**4.6 Do you have additional eligibility requirements for CRISIS ASSISTANCE?** Yes

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

**Do you require an Assets test ?** Yes

**Do you give priority in eligibility to :**

<b>Elderly?</b>	Yes
<b>Disabled?</b>	Yes
<b>Young Children?</b>	Yes
<b>Households with high energy burdens?</b>	Yes
<b>Other?</b>	No

**In Order to receive crisis assistance:**

<b>Must the household have received a shut-off notice or have a near empty tank?</b>	Yes
<b>Must the household have been shut off or have an empty tank?</b>	No
<b>Must the household have exhausted their regular heating benefit?</b>	No
<b>Must renters with heating costs included in their rent have received an eviction notice ?</b>	Yes
<b>Must heating/cooling be medically necessary?</b>	No
<b>Must the household have non-working heating or cooling equipment?</b>	No
<b>Other? See Below</b>	Yes

**Do you have additional / differing eligibility policies for:**

**Renters?** No

<b>Renters living in subsidized housing?</b>	No
<b>Renters with utilities included in the rent?</b>	No

**Explanations of policies for each "yes" checked above:**

- Households must meet the basic eligibility criteria.
- Completed applications will be processed in the order accepted to the extent of available funds.
- Applicants shall have no more than five (5) days to complete the application from the date the application was started.
- All households must be responsible for home heating costs directly or as an undesignated portion of the rent.
- In special circumstances, benefits may be provided if it will prevent the removal of a child from a household, or if it will enable a child to return to the household. Households must meet the same income and assets criteria as for regular LIHEAP.
- Each eligible household, including those living in subsidized housing, except those at 0 - 74% of poverty, will be required to make a co-payment as a percent of the amount needed to relieve the crisis. Households residing in subsidized housing will be responsible for a higher co-payment due to receiving a utility allowance. The co-payment amount will be based on the household's percent of poverty as indicated below:

Percent of Poverty	Copayment Percentage of Benefit for Households Residing in Nonsubsidized Housing	Copayment Percentage of Benefit for Households Residing in Subsidized Housing
0-74%	0%	0%
75-100%	10%	15%
101-130%	15%	20%

**Determination of Benefits**

**4.8 How do you handle crisis situations?**

<input checked="" type="checkbox"/>	<b>Separate component</b>
<input type="checkbox"/>	<b>Fast Track</b>
<input type="checkbox"/>	<b>Other - Describe:</b>

**4.9 If you have a separate component, how do you determine crisis assistance benefits?**

<input checked="" type="checkbox"/>	<b>Amount to resolve the crisis.</b>
<input checked="" type="checkbox"/>	<b>Other - Describe:</b> The maximum amount of benefits that any household may receive throughout the Crisis component may not exceed \$250 for gas or electric. If program funding is enhanced through a federal or state award, the cabinet may approve a subsequent increase to the benefit amount. For the past several years the maximum benefit for gas or electric has been maintained at \$400. The maximum benefit for bulk fuels are two (2) tons of coal, 2 cords of wood, or 200 gallons of propane, fuel oil or kerosene.

**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.**

Prior to the program opening, locations are determined in each county where applications are taken and sites are listed on outreach material and media articles.

For those applicants unable to go to a location for the application process, the applicant can designate an authorized representative to apply on the applicant's behalf. Other alternative methods consist of the community action agencies conducting home visits, visiting elderly communities to ensure they receive assistance, or conducting telephone interviews. If an application is taken via a phone interview, the client then provides verification and signatures on application forms and returns by mail.

**4.11 Do you provide individuals who are physically disabled the means to:**

<b>Submit applications for crisis benefits without leaving their homes?</b>
Yes <b>If No, explain.</b>
<b>Travel to the sites at which applications for crisis assistance are accepted?</b>
Yes <b>If No, explain.</b>

**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      \$250 maximum benefit

Summer Crisis      \$0 maximum benefit

Year-round Crisis      \$0 maximum benefit

**4.13 Do you provide in-kind (e.g. blankets, space heaters, fans) and/or other forms of benefits?**

Yes **If yes, Describe**

Benefits are provided in the form of space heaters, blankets, sleeping bags, utility payments, fuel delivery, heating system repairs necessary to obtain heat, and emergency lodging. Space heaters are loaned on a temporary basis when the household's heating system is in need of a repair. Electric space heaters are provided unless the client specifically asks for kerosene space heaters, and for proper usage, the client is provided with a "Fact Sheet on Space Heaters".

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

No

If you answered "Yes" to question 4.14, you must complete question 4.15.

**4.15 Check appropriate boxes below to indicate type(s) of assistance provided.**

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

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

No

If you responded "Yes" to question 4.16, you must respond to question 4.17.

**4.17 Describe the terms of the moratorium and any special dispensation received by LIHEAP clients during or after the moratorium period.**

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

**Section 5 - WEATHERIZATION ASSISTANCE**

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES  
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 5: WEATHERIZATION ASSISTANCE**

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

**5.1 Designate the income eligibility threshold used for the Weatherization component**

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

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

**5.3 If yes, name the agency.** Kentucky Housing Corporation

**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:**

Weatherization not subject to the DOE WAP average Health and Safety cost limitation per dwelling.

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

**5.6 Do you require an assets test?** No

**5.7 Do you have additional/differing eligibility policies for :**

**Renters** No

**Renters living in subsidized housing?** No

**5.8 Do you give priority in eligibility to:**

**Elderly?** Yes

**Disabled?** Yes

**Young Children?** Yes

**House holds with high energy burdens?** Yes

**Other? See Below** Yes

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.

Priority is given to households containing elderly, disabled, or children. Eligible households with young children who have been identified by CHFS, Division of Protection and Permanency as being at risk of being removed from the home, if the housing conditions are substandard and in need of weatherization, will be given emergency priority and will receive service immediately. Priority is also given to households identified as having a high energy burden. A high energy burden is defined as 15% or more of the household income and those residing in high energy consuming dwellings.

**Benefit Levels**

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

**5.10 If yes, what is the maximum? \$0**

**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
<input checked="" type="checkbox"/> 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	<input checked="" type="checkbox"/> Water Heater
<input checked="" type="checkbox"/> Water conservation measures	<input checked="" type="checkbox"/> Cooling system replacement
<input checked="" type="checkbox"/> Compact florescent light bulbs	Other - Describe:

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

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

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):

The Division of Family Support sends a memorandum to each of the local Department for Community Based Services (DCBS) offices notifying field staff of the dates, times, and locations of the agencies, in order for recipients to apply. This information is posted in the lobby or waiting rooms of each DCBS office.

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:

Community action agencies are the service providers for the LIHEAP program and they administer other energy assistance programs, i.e., the Weatherization Assistance Program and privately fuel funded energy assistance programs. Each local community action agency will coordinate the various available energy assistance programs and make referrals, when appropriate, to other agencies and programs.

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

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

Community action agencies will be the service providers for Heating Assistance. The agencies provide outreach and intake throughout the state for all components of the program.

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

Same as 8.2.

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

Same as 8.2.

<b>8.5 LIHEAP Component Administration.</b>	<b>Heating</b>	<b>Cooling</b>	<b>Crisis</b>	<b>Weatherization</b>
<b>8.5a Who determines client eligibility?</b>	Community Action Agencies	Community Action Agencies	Community Action Agencies	Community Action Agencies
<b>8.5b Who processes benefit payments to gas and electric vendors?</b>	Community Action Agencies	Community Action Agencies	Community Action Agencies	
<b>8.5c who processes benefit payments to bulk fuel vendors?</b>	Community Action Agencies	Community Action Agencies	Community Action Agencies	
<b>8.5d Who performs installation of weatherization measures?</b>				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?**

The Cabinet for Health and Family Services (CHFS or Cabinet), Department for Community Based Services (DCBS), has been the single state agency responsible for administering the Low Income Home Energy Assistance Program since FY 1982, as well as administering other federal and state energy programs in preceding years.

Under contract with CHFS, Community Action Kentucky, Inc. (CAK), subcontracts with twenty- two (22) community action agencies and one local government to operate locally the LIHEAP program. CAK has operated the Crisis Component since FFY 1986 and the Subsidy Component since 1990 and has received federal funds for the administration of energy assistance programs both prior to and after the date of enactment of the Low Income Home Energy Assistance Act. CAK has and will continue to subcontract with local community action agencies to provide assistance in all 120 counties of the State.

**8.7 How many local administering agencies do you use? 23**

**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.**

Payments will be authorized to the energy provider, including landlords where heating is included as an undesignated portion of the rent, by one party check upon delivery of fuel, restoration or continuation of service, household receipt of blankets, sleeping bags or emergency lodging. The only exception would be if the landlord or vendor refuses to accept payment or a voucher.

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

At the time of application, all households that are determined eligible for assistance receive a written notification advising them of the amount of assistance for which they are eligible and to whom the payment will be made.

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

All vendors are required to sign a vendor agreement. Contingent on signing the agreement, the vendor will be required to comply with the Kentucky Administrative Regulation, 921 KAR 4:116. Section 10 and section 2605(b)(7) of the Low Income Home Energy Assistance Act of 1981 as amended.

**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?**

All vendors are required to sign a vendor agreement. The vendor agrees to comply with the Kentucky Administrative Regulation, 921 KAR 4:116. Also, Community Action Agencies are required by contractual agreement to monitor vendors once within a 5 year period.

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

Yes

**If so, describe the measures unregulated vendors may take.**

For unregulated fuel sources (wood, coal, propane, fuel oil, kerosene) payment will not be made until the fuel has been delivered or provided and the vendor has submitted documentation that the consumer accepted the fuel.

**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?**

**Program Monitoring, Fiscal Monitoring**

**Program Monitoring:** CAK will monitor the local community action agencies' LIHEAP program at least once during the program year to assure the appropriate delivery of services and documentation of case actions and billings. Monitoring reports will be completed for each monitoring visit and will include a description of any corrective action to be taken. CAK will follow-up on all corrective action plans and report the resolution to DCBS. A copy of each monitoring report, including corrective actions, if necessary, will be forwarded to DCBS for review. DCBS, Division of Administration and Financial Management (DAFM), Contract Performance Branch, will monitor CAK during the year to assure that the operation of the program is in compliance with all contract requirements and the federal statute.

DCBS, Division of Administration and Financial Management (DAFM), Contract Performance Branch, will monitor the Kentucky Housing Corporation (KHC) during the year to assure that the operation of the program that utilizes the weatherization funding is in compliance with all contract requirements and the federal statute.

The DAFM Contract Performance Section monitors DCBS contractors for compliance with contractual provisions and federal/state laws. The Contract Performance Section prioritizes the annual monitoring of all contractors whose funding totals require the contractor to undergo an annual Office of Management and Budget (OMB) Circular A-133 audit. The next prioritized group of contracts includes those whose funding totals required a yellow book audit, equal to or greater than \$300,000. Contracts that are less than \$300,000 are monitored no less than once every two years or are monitored more frequently upon request of DCBS program staff.

**Fiscal Monitoring:** Methods and procedures are in place for properly charging the costs of administration under the plan and are maintained in accordance with Federal requirements as specified in 45 CFR 205.150 and 45 CFR Part 74-171, including identifying costs applicable to each of the separate federal programs. Revisions in such methods and procedures are submitted on a timely basis for approval by the Department of Health and Human Services.

Procedures for determining reasonableness, allowability and allocability of costs are in accordance with provision of P.L. 97-35, as amended, 45 CFR Parts 74, 92 and 96 as applicable, OMB Circulars A-87 and A-122, as applicable and applicable state laws including KRS 273.410 through 273.468 and 45.350 through 45.359. These requirements are applicable to subcontractors who will be required to report to CAK in a manner that meets CAK's report requirements to the Cabinet.

**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	other	Kentucky Office of Inspector General (OIG) completed an investigation regarding Holston Gas Company discriminating in the cost of propane gas between customers that receive LIHEAP benefits and general household customers.	In Progress	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 Adminstering 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.**

CAK will monitor the local community action agencies which operate LIHEAP, at least once during the program year to assure the appropriate delivery of services and documentation of case actions for each monitoring visit. This will include a description of corrective actions to be taken. CAK will follow up on all corrective action plans and report the resolution to DCBS.

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

**Site Visits:**

All community action agencies are monitored annually.

**Desk Reviews:**

Desk reviews are completed annually on financial data for every community action agency.

**10.8. How often is each local agency monitored ?**

Annually

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

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

**10.11. How many local agencies are currently on corrective action plans for eligibility and/or benefit determination issues? 3**

**10.12. How many local agencies are currently on corrective action plans for financial accounting or administrative issues? 13**

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?

None

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

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

	Date	Event Description
1	07/18/2014	A Public hearing was held in July by the Special Subcommittee on Energy.

11.4. How many parties commented on your plan at the hearing(s)? 4

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

There were no public comments received at the public hearing. However, members of the Subcommittee on Energy asked questions regarding the program. These questions are being researched and a repsonse will be provided to the committee at a later date.

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

N/A

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

Section 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? 0

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

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

N/A

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

An opportunity for a hearing is made available in accordance with community action agency appeal procedures as stated in the LIHEAP manual. A hearing will be granted to any individual requesting a hearing because his claim for assistance is denied or not acted upon in a timely manner.

Requests for a hearing must be in writing. The community action agency may assist the claimant in submitting the request. Time allowed for claimants to file for a hearing is thirty (30) days from the date of the notice of the eligibility decision.

If dissatisfied with the community action agency decision, the claimant may further appeal to CAK. If dissatisfied with the decision of CAK, the claimant may appeal through the CHFS.

Hearings are conducted at a reasonable time, date and place. Adequate preliminary written notice is given. The hearings are conducted by an impartial official or designee of the agency who has not been directly involved in the initial determination of the action in question. The claimants, or their representatives, are given adequate opportunity to examine the contents of the case files, all documents, and records to be used at the hearing; to present the case themselves or with the aid of an authorized representative; to bring witnesses; to establish all pertinent facts and circumstances; to advance arguments without undue interference; and to question or refute testimony or evidence, including the opportunity to confront and cross-examine adverse witnesses.

Recommendations or decisions of the hearing officer are based exclusively on evidence and other material introduced at the hearing. The transcript or recording of testimony and exhibits, all papers and requests filed in the proceeding, and the recommendation or decision of the hearing officer constitute the exclusive record. This record is made available to the claimants or representatives at an accessible place at a reasonable time.

Decisions by the hearing authority will specify the reasons for the decision and identify the supporting evidence and regulations.

When a hearing decision is appealed, any individual involved in making the original hearing decision may not take part in making the decision on the appeal.

Final administrative action will be taken within ninety (90) days from the date of the request for a hearing and the claimant is notified in writing of the action.

When the decision is adverse to the claimant, the notice will inform the claimant of the right to appeal to the appeal board and to judicial review.

When the decision is favorable to the claimant, the agency shall promptly make payment.

Subject to provisions for safeguarding public assistance information, all hearing decisions of the agency are accessible to the public.

**Weatherization:**The CAAs are responsible for resolving all client complaints, including applicant denials, project deferrals, and work quality issues.

Each agency establishes a clear, objective, and prompt dispute resolution process that includes mediation and arbitration should internal procedures fail to remedy a complaint. Clients must be informed at time of application of their right to file a grievance. Agencies will also be responsive to requests for information regarding the dispute resolution process. Clients may withdraw a grievance at any time with the understanding that they may re-enter the process at the point they withdrew if a complaint is not resolved.

KHC approves and monitors the agency's dispute process and is available for technical assistance and consultation. KHC will also review complaints and ensure all complaints have been resolved.

12.5 When and how are applicants informed of these rights?

All claimants are informed at the time of application and at the time of any action affecting their claim of their right to a hearing, the method of obtaining it and their right to be represented by others or to represent themselves.



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

Same as Section 12.4.

**12.7 When and how are applicants informed of these rights?**

Same as Section 12.5.

**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 CAAs conduct a needs assessment at the time of application. The client is provided services including: budget counseling, home energy conservation guidance, written material with Energy Saving Tips, and assistance with utility budget payment plans.

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

An assurance is written into the contract with CAK, and the subcontracts between CAK and the community action agencies, that a community action agency may use up to 5% of the crisis allocation to provide services to encourage households to reduce their energy cost.

The cost of such services does not count toward the maximum benefit level for any single household. CAK assists all community action agencies interested in providing such services in developing plans for the use of such funds for review and approval by DCBS prior to the provision of services.

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

5,108 households received these services in the previous federal fiscal year. There is no way currently to determine whether those households applied the guidance and information they were provided. The Cabinet is collaborating with CAK to develop reports to identify the impact of these services.

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

Current reporting capabilities do not allow a match of those households provided these services and the benefits they received in the previous Federal fiscal year. The Cabinet is collaborating with CAK to develop these reporting capabilities.

**13.5 How many households applied for these services?** 5108

**13.6 How many households received these services?** 5108

**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.**

DCSB will work with the Community Action Agencies explaining all information needed to complete the leveraging report. A solicitation packet will be provided to each CAA which includes the Action Transmittal instructions, link to the Federal Statutes and Regulations, and the resource form. The Grantee is available to answer any questions, if needed.

**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	Winter Care Program	This is a utility customer contribution fuel fund program.	Administered by Community Action Council for Lexington-Fayette Bourbon, Harrison & Nicholas counties to supplement LIHEAP benefits when LIHEAP benefits are insufficient to meet the need of the household.
2	Winterhelp	This is a utility customer contribution program that receives donations from the community and a matching percentage from the local utility company to be distributed to households in the Louisville/Jefferson County area.	One time payments are made to the vendor, Louisville Gas and Electric, for customers who are facing a utility crisis and the maximum crisis benefits in LIHEAP are exhausted or LIHEAP is not available.
3	Columbia Gas Energy Assistance Program	This program provides cash benefits and discounts on heating bills to Columbia Gas low income customers.	This resource serves households that are eligible for and receive LIHEAP Subsidy. An agreement between Columbia Gas of Kentucky and Community Action Council specifies eligibility criteria, benefit levels, period of operation and how LIHEAP resources are integrated.
4	Delta Gas Energy Assistance Program	Cash benefits for low-income Delta customers which provides a credit to their Delta Gas account for the 5 heating months (Nov-Mar).	Resource serves households that are eligible for and receive LIHEAP Subsidy. An agreement between Delta Natural Gas and Community Action Council specifies eligibility criteria, benefit levels, period of operation and how LIHEAP resources are integrated.
5	Salvation Army, United Way, Schools Ministerial Associations, Churches, and other Non-profit organizations.	Private cash donations or in-kind donations.	Funds will be used to supplement LIHEAP or used when LIHEAP funds are expended.
6	Demand Side Management	Demand Side Management (DSM) programs are utility sponsored energy efficiency programs to lower the current demand for energy.	Enhances low income households by providing weatherization services.
7	Distribution of fans, air conditioners, and payments toward utility bill.	Private cash donations or in-kind donation by community action agencies, utility companies, city and county government and civic organizations	Funds will be used to supplement LIHEAP or used when LIHEAP funds are expended.
8	Project Warm and other similar resources	Weatherization services provided by local nonprofit organizations and utility companies.	Provides weatherization activities , energy audits, window replacements, insulation materials to low income households.
9	Affordable Energy	Provides year round, monthly cash benefits to LG&E	All clients must participate in energy education, conservation and weatherization services.

	Corporation	customers.	
10	Certificate for Financial Need (CFN)	Governed by the Public Service Commission and administered by the CAAs to either give a 30 day extension or a reconnection of services for natural gas and electric households.	Clients must meet the criteria for LIHEAP and agree to apply for the weatherization program, if applicable.
11	Miscellaneous Leveraging Activities	Waivers of utility applications, reconnect fees, late payment charges, security deposits, reimbursement for energy efficient appliances, and reduced cost for fuel	Clients must meet the criteria for LIHEAP assistance.
12	Columbia Gas Warm Wise	Replacement of furnaces with more energy efficient furnaces	By replacing old furnaces with low energy efficient ratings with more energy efficient furnaces, the consumption of gas for the operation of a furnace will be reduced leading to lower utility costs which should result in less dependence on LIHEAP.

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

Section 15 - Training

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

CAK may conduct teleconferences when applicable.

**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.**

Kentucky is collaborating with Apprise (Melissa Torgesun) and Community Action Kentucky to implement the requirements needed for the performance measures. Future meetings will be held before the beginning of the LIHEAP season to ensure we capture data required.

Revisions will be made to the LIHEAP application and Vendor agreement.

**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:

Posters which include the Office of Inspector General's Fraud Hotline number are posted in community action agencies. Also, it is addressed on the client's denial notification.

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



	Other	Applicant Only Required	Applicant Only Requested	All Adults in Household Required	All Adults in Household Requested	All Household Members Required	All Household Members Requested
1	SSA Award Letter						✓
2	SSA Benefit Check						✓
3	HUD forms						✓
4	Medicare Card						✓
5	Military ID Card						✓
6	School ID or School Records						✓
7	SSA Print out						✓
8	Work or State ID Card						✓
9	Wage Stubs						✓
10	ID card from health benefit						✓

**b. Describe any exceptions to the above policies.**

Any household member who does not have a SSN must be advised to apply for one at the Social Security Office. Documentation consisting of a signed and dated statement from a SSA representative, a SS-5, or a receipt of application for a SSN (SSA-5028) will be accepted.

A child under two years of age that has not applied for a SS card will be exempt.

**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:

**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

<input checked="" type="checkbox"/> Tax statements
<input checked="" type="checkbox"/> Zero-income statements
<input checked="" type="checkbox"/> Unemployment Insurance letters
<input checked="" type="checkbox"/> Other - Describe: <ul style="list-style-type: none"> <li>• Most recent DCBS award letter for K-TAP, State Supplementation or Kinship Care;</li> <li>• Pension statement;</li> <li>• Internal Revenue Service records;</li> <li>• Veterans Administration records;</li> <li>• Railroad Retirement records;</li> <li>• Court support records;</li> <li>• Union records;</li> <li>• SSA verification forms;</li> <li>• College financial aid award documents;</li> <li>• Contracts for sale of property;</li> <li>• Statement from absent parent or copy of checks from absent parent for support payments; and</li> <li>• Statement from individual providing income to the consumer.</li> <li>• Employer statement or contract;</li> <li>• Records maintained by individual on self-employment income;</li> <li>• Contracts;</li> <li>• Records of income and expenses on farm and /or rental income.</li> </ul>
<b>Computer data matches:</b>
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:
<b>17.6. Protection of Privacy and Confidentiality</b>
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:
Grantee employees
<input checked="" type="checkbox"/> Local agencies/district offices
<input checked="" type="checkbox"/> Employees must sign confidentiality agreement
<input checked="" type="checkbox"/> Grantee employees
<input checked="" type="checkbox"/> Local agencies/district offices
<input checked="" type="checkbox"/> Physical files are stored in a secure location
<input checked="" type="checkbox"/> Other - Describe:
Per contractual agreement CAK and the CAA's are required to maintain confidential information acquired from the applicants or provided by the Cabinet consistent with the requirements of KRS 194A.060, Confidentiality of Records and Reports, KRS 205.175 Confidential treatment of information and records, and KRS 205.177 Information may be shared by state and local governmental agencies.
<b>17.7. Verifying the Authenticity</b>
What policies are in place for verifying vendor authenticity? Select all that apply.
All vendors must register with the State/Tribe.
<input checked="" type="checkbox"/> All vendors must supply a valid SSN or TIN/W-9 form
<input checked="" type="checkbox"/> Vendors are verified through energy bills provided by the household
<input checked="" type="checkbox"/> Grantee and/or local agencies/district offices perform physical monitoring of vendors
Other - Describe and note any exceptions to policies above:
<b>17.8. Benefits Policy - Gas and Electric Utilities</b>
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
<input checked="" type="checkbox"/> Account is properly credited with benefit
Other - Describe:
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
<input checked="" type="checkbox"/> 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
<input checked="" type="checkbox"/> Computer databases are periodically reviewed to verify accuracy and timeliness of payments made to utilities
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 checked="" type="checkbox"/> Vendors are checked against an approved vendors list
<input checked="" type="checkbox"/> Centralized computer system/database is used to track payments to all vendors
<input checked="" type="checkbox"/> Clients are relied on for reports of non-delivery or partial delivery
Two-party checks are issued naming client and vendor
Direct payment to households are made in limited cases only
Vendors are only paid once they provide a delivery receipt signed by the client
<input checked="" type="checkbox"/> Conduct monitoring of bulk fuel vendors
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
<input checked="" type="checkbox"/> Other - Describe:
During Crisis, Community Action Kentucky is required to provide the Cabinet a bulk fuel pricing report that compares fuel prices from local vendors with the US Energy Information Administration.
CAA's are responsible for obtaining pricing from vendors in writing prior to the start of LIHEAP and any subsequent changes in fuel pricing should also be done in writing during LIHEAP season.

**17.10. Investigations and Prosecutions**

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

<input checked="" type="checkbox"/> Refer to state Inspector General
Refer to local prosecutor or state Attorney General
Refer to US DHHS Inspector General (including referral to OIG hotline)
Local agencies/district offices or Grantee conduct investigation of fraud complaints from public
Grantee attempts collection of improper payments. If so, describe the recoupment process

**Clients found to have committed fraud are banned from LIHEAP assistance. For how long is a household banned?**

**Contracts with local agencies require that employees found to have committed fraud are reprimanded and/or terminated**

✓ **Vendors found to have committed fraud may no longer participate in LIHEAP**

✓ **Other - Describe:**

CAK and local CAA's are required to document instances of fraud and abuse that occur during the program. Agencies are required to:

1. Complete the Fraud and Abuse Report on each suspected case of fraud and abuse.
2. Submit a copy of the initial report to CAK at the time the fraud is initially suspected, and the local investigation of the case has begun.
3. Submit a final report, even if the investigation reveals that there were no problems.
4. File a copy of each Fraud & Abuse Report in the consumer's folder.
5. Submit the report to the Cabinet for further investigation, if needed.

**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 pint 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)**

275 East Main Street

**\* Address Line 1**

3W-A

**Address Line 2**

**Address Line 3**

Frankfort

**\* City**

KY

**\* State**

40621

**\* 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).**