

DETAILED MODEL PLAN (LIHEAP)

Mandatory Grant Application SF-424

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

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

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

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

7. APPLICANT INFORMATION

* a. Legal Name: State of Ohio			
* b. Employer/Taxpayer Identification Number (EIN/TIN): 31-1334820		* c. Organizational DUNS: 808847743	
* d. Address:			
* Street 1:	P.O. BOX 1001	Street 2:	77 S. HIGH ST., 25TH FLOOR
* City:	COLUMBUS	County:	Franklin
* State:	OH	Province:	
* Country:	United States	* Zip / Postal Code:	43216 - 1001

e. Organizational Unit:

Department Name: Development Services Agency	Division Name: Community Services Division
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f. Name and contact information of person to be contacted on matters involving this application:

Prefix:	* First Name: Sharon	Middle Name:	* Last Name: Smith
Suffix:	Title: Assistant Deputy Chief	Organizational Affiliation:	
* Telephone Number: (614) 644-6637	Fax Number: (614) 728-6832	* Email: sharon.smith@development.ohio.gov	

* 8a. TYPE OF APPLICANT: A: State Government

b. Additional Description:

* 9. Name of Federal Agency:

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

11. Descriptive Title of Applicant's Project Low Income Home Energy Assistance (LIHEAP)

12. Areas Affected by Funding: Statewide

13. CONGRESSIONAL DISTRICTS OF:

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

14. FUNDING PERIOD:		15. ESTIMATED FUNDING:	
a. Start Date: 10/01/2014	b. End Date: 09/30/2015	* a. Federal (\$): \$0	b. Match (\$): \$0
* 16. IS SUBMISSION SUBJECT TO REVIEW BY STATE UNDER EXECUTIVE ORDER 12372 PROCESS?			
a. This submission was made available to the State under the Executive Order 12372			
Process for Review on :			
b. Program is subject to E.O. 12372 but has not been selected by State for review.			
c. Program is not covered by E.O. 12372.			
* 17. Is The Applicant Delinquent On Any Federal Debt?			
NO			
Explanation:			
18. By signing this application, I certify (1) to the statements contained in the list of certifications** and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)			
**I Agree			
** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.			
18a. Typed or Printed Name and Title of Authorized Certifying Official		18c. Telephone (area code, number and extension)	
		18d. Email Address	
18b. Signature of Authorized Certifying Official		18e. Date Report Submitted (Month, Day, Year)	
Attach supporting documents as specified in agency instructions.			

Section 1 - Program Components

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

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

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

Section 1 Program Components

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

1.1 Check which components you will operate under the LIHEAP program. (Note: You must provide information for each component designated here as requested elsewhere in this plan.)		Dates of Operation	
		Start Date	End Date
✓	Heating assistance	10/01/2014	09/30/2015
	Cooling assistance		
✓	Crisis assistance	11/01/2014	04/15/2015
✓	Weatherization assistance	07/01/2014	06/30/2015

Provide further explanation for the dates of operation, if necessary

The winter crisis program dates are indicated above. The summer crisis program dates are 07/01/2015 - 09/15/2015.

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	41.00%
Cooling assistance	0.00%
Crisis assistance	25.00%
Weatherization assistance	15.00%
Carryover to the following federal fiscal year	6.50%
Administrative and planning costs	10.00%
Services to reduce home energy needs including needs assessment (Assurance 16)	2.50%
Used to develop and implement leveraging activities	0.00%
TOTAL	100.00%

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

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

<input checked="" type="checkbox"/>	Heating assistance		Cooling assistance
	Weatherization assistance	<input checked="" type="checkbox"/>	Other (specify): summer crisis assistance

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

1.4 Do you consider households categorically eligible if one household member receives one of the following categories of benefits in the left column below? No

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

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

	Program Name	Heating	Cooling	Crisis	Weatherization
Other(Specify) 1					

1.5 Do you automatically enroll households without a direct annual application? No

If Yes, explain:

1.6 How do you ensure there is no difference in the treatment of categorically eligible households from those not receiving other public assistance when determining eligibility and benefit amounts?

In all program components (heating, heating crisis, cooling crisis and weatherization) the state of Ohio makes no distinction between categorically and non-categorically eligible households.

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 type="checkbox"/>	Payments from mortgage or Sales Contracts
<input checked="" type="checkbox"/>	Unemployment insurance
<input checked="" type="checkbox"/>	Strike Pay
<input type="checkbox"/>	Social Security Administration (SSA) benefits

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

	Ameri-Corp Program payments for living allowances, earnings, and in-kind aid
✓	Reimbursements (for mileage, gas, lodging, meals, etc.)
	Other *Savings Account Balance = Interest earned from savings account
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
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Section 2 - Heating Assistance

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

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

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

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

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

Do you require an Assets test ? No

Do you have additional/differing eligibility policies for:

Renters?	No
Renters Living in subsidized housing ?	No
Renters with utilities included in the rent ?	No

Do you give priority in eligibility to:

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

Explanations of policies for each "yes" checked above:

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

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

- Early Application : eligible household with elderly and/or disabled will receive a new program year Energy Assistance Programs Application earlier.
- Households which have a member who is age 60 or older and/or is disabled will be evaluated for an increased benefit.

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

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

- Increased benefit amounts for the elderly and/or disabled applicants.
- Decreased benefit amounts for the Percentage of Income Payment Plan Plus (PIPP Plus) applicants.

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

2.6 Describe estimated benefit levels for FY 2015:

Minimum Benefit	\$76	Maximum Benefit	\$634
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2.7 Do you provide in-kind (e.g., blankets, space heaters) and/or other forms of benefits? No

If yes, describe.

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

Section 3 - COOLING ASSISTANCE

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
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 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			0.00%

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

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

Do you require an Assets test ?

Do you have additional/differing eligibility policies for:

Renters?

Renters Living in subsidized housing ?

Renters with utilities included in the rent ?

Do you give priority in eligibility to:

Elderly?

Disabled?

Young children?

Households with high energy burdens ?

Other?

Explanations of policies for each "yes" checked above:

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

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

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

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

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

3.6 Describe estimated benefit levels for FY 2015:

Minimum Benefit	\$0	Maximum Benefit	\$0
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3.7 Do you provide in-kind (e.g., fans, air conditioners) and/or other forms of benefits?

If yes, describe.

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

Section 4 - CRISIS ASSISTANCE

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Section 4: CRISIS ASSISTANCE

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

4.1 Designate the income eligibility threshold used for the crisis component

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

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

- For Heating Crisis assistance: an actual disconnection, notice of disconnection, or less than 25 percent supply of deliverable fuel, or furnace disrepair.
- For Summer Crisis assistance: medical certification of need for room air conditioner, or elderly/disabled household.

4.3 What constitutes a life-threatening crisis?

Extreme cold/heat - natural disasters, power outages

Crisis Requirement, 2604(c)

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

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

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

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

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

Do you require an Assets test ? No

Do you give priority in eligibility to :

Elderly?	No
Disabled?	No
Young Children?	No
Households with high energy burdens?	No
Other?	No

In Order to receive crisis assistance:

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

Do you have additional / differing eligibility policies for:

Renters?	No
Renters living in subsidized housing?	No

Renters with utilities included in the rent?		No	
Explanations of policies for each "yes" checked above:			
Determination of Benefits			
4.8 How do you handle crisis situations?			
<input checked="" type="checkbox"/>	Separate component		
	Fast Track		
	Other - Describe:		
4.9 If you have a separate component, how do you determine crisis assistance benefits?			
<input checked="" type="checkbox"/>	Amount to resolve the crisis.		
	Other - Describe:		
Crisis Requirements, 2604(c)			
4.10 Do you accept applications for energy crisis assistance at sites that are geographically accessible to all households in the area to be served?			
Yes Explain.			
Sites are accessible to households in all 88 counties in Ohio			
4.11 Do you provide individuals who are physically disabled the means to:			
Submit applications for crisis benefits without leaving their homes?			
Yes If No, explain.			
Travel to the sites at which applications for crisis assistance are accepted?			
Yes If No, explain.			
If you answered "No" to both options in question 4.11, please explain alternative means of intake to those who are homebound or physically disabled?			
Benefit Levels, 2605(c)(1)(B)			
4.12 Indicate the maximum benefit for each type of crisis assistance offered.			
Winter Crisis	\$750 maximum benefit		
Summer Crisis	\$175 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			
Space heaters can be provided through the Winter Crisis Program as a last resort if there is no operable heating system. Air conditioners and fans can be provided as part of the Summer Crisis Program. Generators can be provided on loan to households in instances of natural disasters such as power outages.			
4.14 Do you provide for equipment repair or replacement using crisis funds?			
Yes			
If you answered "Yes" to question 4.14, you must complete question 4.15.			
4.15 Check appropriate boxes below to indicate type(s) of assistance provided.			
	Winter Crisis	Summer Crisis	Year-round Crisis
Heating system repair	<input checked="" type="checkbox"/>		
Heating system replacement	<input checked="" type="checkbox"/>		
Cooling system repair		<input checked="" type="checkbox"/>	
Cooling system replacement		<input checked="" type="checkbox"/>	
Wood stove purchase			
Pellet stove purchase			

Solar panel(s)			
Utility poles / gas line hook-ups			
Other (Specify):			

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

Yes

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

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

The Public Utilities Commission of Ohio issues a Winter Reconnect Order that assures Ohio households facing hardship that their heating service can be established, maintained or reconnected during the winter heating season. The time frame coincides with the Winter Crisis Program

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

Section 5 - WEATHERIZATION ASSISTANCE

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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. Some units of local government administer HWAP

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:

US Dept of Energy income eligibility requirements

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? No

House holds with high energy burdens? No

Other?

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

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

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

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

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

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

- Place posters/flyers in local and county social service offices, offices of aging, Social Security offices, VA, etc.
- Publish articles in local newspapers or broadcast media announcements.
- Include inserts in energy vendor billings to inform individuals of the availability of all types of LIHEAP assistance.
- Mass mailing(s) to prior-year LIHEAP recipients.
- Inform low income applicants of the availability of all types of LIHEAP assistance at application intake for other low-income programs.
- Execute interagency agreements with other low-income program offices to perform outreach to target groups.
- Other (specify):

To make it easier for applicants to receive information about their applications, the State of Ohio maintains an Interactive Voice Response System (IVR) on its toll-free telephone line. The caller is first prompted to enter his or her Social Security number. The system can then advise callers if their application has been received, and later, whether the application was approved, the amount of the benefit, and when it will be issued. The system is also able to direct callers to the Local Delegate Agency providing crisis assistance and weatherization services, by prompting callers to enter the first few letters of their county of residence. The IVR system is available on a 24-hour basis. The system hardware was last updated in FY 2007. The State of Ohio plans has purchased a new IVR system for FY 2014 with enhancements such as the capability of appointment scheduling for agencies and real-time on-demand features for high volume periods. This system is scheduled to go live at the end of August.

The State of Ohio has contracted with a service called Language Line. If a caller does not speak English the operator puts the caller on hold and contacts the service. Language Line immediately connects an interpreter to the call, to enable the applicant to interact with the LIHEAP office. Language Line can provide interpreters in all languages.

In addition, the State of Ohio has initiated a website to further facilitate applicants in tracking their application status. By logging on and simply entering three out of four of the following items: client number, last four digits of the social security number, last name, or mailing zip code, the user is able to ascertain what point in processing their application has reached.

In order to insure that Ohio's elderly are aware of LIHEAP, funds are used by the Ohio Department of Aging (ODA) to conduct program outreach and public education activities in all counties. During the last heating season, the Area Agencies on Aging and their local outreach workers helped more than 18,000 older and disabled adults complete applications for assistance. This included 3,230 homebound individuals. A complete report on last year's ODA outreach effort is included in Appendix H.

Through coordination with the Ohio Benefit Bank (OBB) which is a free web-based application system for free tax preparation and other public benefit programs, low and moderate income Ohioans can claim the credits, such as the Federal Earned Income Tax Credit and public benefits such as the Child Care Tax Credit, food stamps, child care subsidies, home energy assistance and children's health care insurance. The OBB is a one-stop, counselor assisted program that converts complex eligibility requirements into easy to answer questions. In addition to the state and federal benefits that OBB provides assistance with for food, medical and utility assistance, the OBB provides eligibility assessments and helps with filling out application forms for veteran's education benefits to pay for tuition, fees, housing, books and more for education or training.

The Ohio Association of Foodbanks has been working with Ohio's Inter-Service Family Assistance Council (ISFAC) and their regional counterparts (RISFAC) to get information about benefits and eligibility (including LIHEAP) to veterans and their families. Currently 6 AmeriCorps members serve at some of Ohio's National Guard bases as VetsCorps members, a program of the association that specifically targets outreach including for LIHEAP to veterans and families of active duty service men and women.

A free Lung Health Clinic for eligible LIHEAP clients is offered through a grantee, The Breathing Association.

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

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

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 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.).

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

The state will assure through the inquiry process that there are referrals to the Ohio Home Weatherization Assistance Program (HWAP); the Percentage of Income Payment Plan Plus (PIPP Plus), fuel funds, and any other related programs. These efforts will be undertaken in order to provide more comprehensive service to the households involved.

In addition, by using a combined Energy Assistance Programs application system, all applicants who meet the criteria for one federally- funded or state-administered program will automatically have eligibility determined for the others administered by the Office of Community Assistance.

HEAP applicants will be notified of energy conservation and assistance efforts by the major utility and fuel companies in Ohio. Educational pamphlets and speakers, which address ways to conserve energy, will be made available by HWAP.

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 type="checkbox"/>	Welfare Agency
<input checked="" type="checkbox"/>	Other - Describe: The Ohio Development Services Agency is committed to creating jobs and building strong communities, while ensuring accountability and transparency of taxpayer money and exceptional customer service.

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

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

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

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

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

8.5 LIHEAP Component Administration.	Heating	Cooling	Crisis	Weatherization
8.5a Who determines client eligibility?	Other	Non-Applicable	Other	Other
8.5b Who processes benefit payments to gas and electric vendors?	Other	Non-Applicable	Community Action Agencies Non-profits Other	
8.5c who processes benefit payments to bulk fuel vendors?	Other	Non-Applicable	Community Action Agencies Non-profits Other	
8.5d Who performs installation of weatherization measures?				Local City Government Local County Government Community Action Agencies Non-profits

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?

Most HEAP agencies are community action agencies that serve the same population in other ways. One-Stop access to an array of programs.

8.7 How many local administering agencies do you use? 62

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

Yes

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

- New HEAP providers have resulted from problems and other programs or agency fiscal capacity issues.
- 2 agencies voluntarily relinquished CSBG funding amid audit findings, disallowed costs.

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

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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

Crisis Yes

Are there exceptions? Yes

If yes, Describe.

*For the Crisis Program, payments are made directly to suppliers by both the state office and the Local Delegate Agencies (LDAs), unless an energy supplier has a debarment against them. The State of Ohio is determining the feasibility of making direct crisis payments to home energy suppliers for all grantees in the future.

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

Heating: All households who complete an application receive written notice of eligibility or ineligibility. If the household is found eligible and has a bill in their name, the letter states the name of the home energy supplier and the amount of the benefit to be directed to that supplier on behalf of the client. If the household is found ineligible, the reason is stated. A Notice of Fair Hearing Rights is also contained in that letter.

Crisis: LDAs are required by the terms of the executed agreement to provide each applicant with a written Notice of Decision. This Notice must state reason(s) for denial of assistance and the applicants fair hearing rights. If the household is found eligible, the notice must indicate the amount of benefit to be paid to the vendor by the LDA. Notices are reviewed by ODSA program monitors during site visits.

Cooling: Not Applicable

Weatherization: Same as Crisis

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?

Heating: Energy Suppliers who wish to receive payments on behalf of eligible households are required to sign a participation agreement with ODSA. A sample copy is attached.

Crisis Heating: ODSA will execute grant agreements with its LDAs, which require those agencies to perform according to the dictates of this assurance. All vendor agreements and the energy suppliers' data base are updated and maintained by ODSA staff.

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?

ODSA has a website to email or toll free hotlines strictly for HEAP and PIPP Plus programs, (800) 282-0880 available statewide for questions regarding energy assistance programs, status of application, appeal and complaint. The website address is: <http://energyhelp.ohio.gov>.

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

No

If so, describe the measures unregulated vendors may take.

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

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

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

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

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

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

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

The following description is applicable to heating and cooling crisis (with respect to sub grantees) and weatherization.

ODSA will serve as liaison with delegate departments and agencies for review of performance and integration of efforts for the plan. Audit procedures will be specified to ascertain compliance with contractual agreements and to monitor performance/cost benefits. Errors, non-compliance and other issues will be handled through liaison with appropriate officials in delegate agencies so that corrective actions can be initiated.

Responsibilities for outreach, intake and designated program services at the local level are delegated to local agencies as considered necessary or prudent by the Deputy Chief, Ohio Office of Community Assistance.

Selected local agencies must have the ability to identify and perform adequate outreach to Ohio's low-income households.

Grant agreements/contracts will be executed between ODSA and each delegate agency, defining in detail the scope of services and the responsibilities according to existing federal regulations and the approved State Plan.

To assure that all Local Delegate Agencies (LDA) receive the necessary assistance and guidance in their responsibilities, ODSA will also provide technical assistance and monitoring of programs. ODSA will also perform office audits of LDAs and receive and review LDA's A-133 audits.

Assistance will be provided through an administrative staff and will include the provision of printed forms, applications, guidelines and instructions; timely and comprehensive training of LDA staff on all operational and administrative functions; on-site technical assistance through regular and special visits; communication of special concerns or issues of interpretation on a regular basis; monitoring of program efficiency and effectiveness through on-site visits and periodic data review; investigation and resolution of applicant complaints, if any.

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				

10.4. Audits of Local Administering Agencies

What types of annual audit requirements do you have in place for local administering agencies/district offices?

Select all that apply.

Local agencies/district offices are required to have an annual audit in compliance with Single Audit Act and OMB Circular A-133

Local agencies/district offices are required to have an annual audit (other than A-133)

Local agencies/district offices' A-133 or other independent audits are reviewed by Grantee as part of compliance process.

Grantee conducts fiscal and program monitoring of local agencies/district offices

Compliance Monitoring

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

Grantee employees:

Internal program review

Departmental oversight
Secondary review of invoices and payments
Other program review mechanisms are in place. Describe:
Local Administering Agencies / District Offices:
✓ On - site evaluation
Annual program review
✓ Monitoring through central database
Desk reviews
✓ Client File Testing / Sampling
✓ Other program review mechanisms are in place. Describe:
A structured monitoring system was implemented by the state for on-site visits by trained personnel for review of all computer collected/compiled data and through identification of special problems. The State of Ohio implemented a web-based centralized client application and data base called the Ohio Community and Energy Assistance Network (OCEAN) in 2006. This system is shared by the State and the local agencies and allows for real-time reporting as well as access to client intake processes, income calculations, eligibility determination and client comments. There is also an audit log which tracks any updates to a client's record.
10.6 Explain, or attach a copy of your local agency monitoring schedule and protocol.
HEAP agencies are monitored annually
10.7. Describe how you select local agencies for monitoring reviews.
Site Visits: All agencies targeted for monitoring annually
Desk Reviews: Available as needed using electronic system
10.8. How often is each local agency monitored ?
Target is 1 time per year
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? 0
10.12. How many local agencies are currently on corrective action plans for financial accounting or administrative issues? 0
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:

To facilitate input from the public regarding the structure of the Home Energy Assistance Program, the State of Ohio will:

Request written comments regarding ways to improve the 2014 HEAP program from all local delegate agencies.

Make available on the State of Ohio, Home Energy Assistance Program website (<http://energyhelp.Ohio.gov>) the proposed state plan, comments and testimony of public hearings.

Conduct public hearings and webinars regarding the proposed plan.

Receive from the Ohio Department of Aging a report and review surveys taken by Area Agencies on Aging in which elderly customers expressed energy assistance needs and their views on Ohio's HEAP.

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	08/07/2014	LIHEAP Public Hearing, 77 S High St, Columbus, OH, 31st Floor, South B&C

11.4. How many parties commented on your plan at the hearing(s)? None

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

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

None

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

Section 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?

None

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

A household may file an appeal for the following reasons:

1. If the Regular or Crisis application was denied;
2. If the application was neither approved nor denied within 30 days after application, unless such delay was the result of the household's lack of cooperation in providing necessary and reliable evidence with which to determine eligibility;
3. If the payment was in an amount less than designated in the notice of eligibility;
4. If the payment was unduly delayed after receipt of notice of eligibility;
5. If the household was suspended from the program for violation of program rules and regulations, and contests that suspension.

Client may make appeal to the OCA/HEAP state office, P.O. Box 2169, Columbus, Ohio 43216 or by completing an "Appeal Form". The letter or appeal form must contain the following: Applicants name, address, telephone number, social security number, the batch number, if known, the reason for the appeal and the applicant's signature. Failure to sign will delay the appeal process. Assistance at this inquiry stage can be obtained by calling the HEAP toll-free number, 1-800-282-0880. Hearing-impaired applicants with telecommunications device for the deaf (TDD) can call toll-free 1-800-686-1557.

Within 30 days of receipt of the appeal, the appeal will be approved or denied. After the appeal notification form is received appellants wishing to further their appeal will have five working days to notify HEAP to have a hearing scheduled.

All formal hearings will be conducted to the following standards:

- The hearing will be conducted at a place of reasonably convenience to the appellant;
- The appellant will be granted the opportunity to review any written evidence which is to be used in the hearing;
- The hearing officer will be a State of Ohio Employee not involved in the decision to be appealed and;
- The appellant and the HEAP office will be granted at their own expense the following rights:
 - The right to bring a representative of his/her choice to the hearing;
 - The right to present written or oral statements and other evidence;
 - The right to have witnesses subpoenaed;
 - The right to cross-examine witnesses and;
 - The right to bring an interpreter, if needed, to the hearing.

Testimony must be given under oath - the hearing must be recorded and the decision must be based only on the record.

The hearing must be scheduled to be held within 40 working days following appellant's request to have a hearing scheduled, unless otherwise agreed by the parties. For good cause, the hearing officer may continue the hearing upon the request of either party. The decision will be transmitted to the applicant via certified mail. All decisions at this level are final.

12.5 When and how are applicants informed of these rights?

Applicants are notified of their fair hearing rights in the following manners.

- 1) Verbal Notification: When an applicant calls our toll-free call center, HEAP staff will advise applicants of their applications' status and appeal rights.

- 2) **Written Notification:** Whether an application is approved or denied, all applicants are notified of appeal rights in the letter containing the original determination of eligibility.
- 3) **Agency Notification:** For crisis assistance, all applicants are interviewed face-to-face. Applicants are informed of their appeal rights during that interview. Also, the Appeal Procedure described below is incorporated into Energy Assistance Guidelines issued by OCA to all local grantees.
- 4) **Weatherization:** Attached are the HWAP appeals procedures, which are followed in that program.

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

Same as 12.4

12.7 When and how are applicants informed of these rights?

Same as 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 Ohio Development Services Agency, Office of Community Assistance will use data obtained by the regulated utilities to target high usage households with energy efficiency education and the local designated agencies will provide case management to assist clients in determining the best payment plan options for their household budgets.

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

Anything considered an "Assurance 16" project is funded by a distinct grant amount, at or below the 5% ceiling.

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

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

13.5 How many households applied for these services?

13.6 How many households received these services?

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.

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	Fuel Funds	Electric Utilities	Several regulated gas or electric utilities in Ohio raise and provide private funds for eligible low-income customers. Many of these fuel funds are directly administered by the State LIHEAP office or its grantees, which employ a certification of eligibility by the state office and its delegate agencies and often requires verification that the LIHEAP benefits are exhausted to qualify for assistance. Other policies, such as amount of benefit and months of availability, may vary by fund. Determination of income eligibility and certification of same is performed by the delegate agencies, as already specified in Ohio's state plan. Ohio's private fuel funds could not operate according to their program rules without information provided and/or verified by the Ohio LIHEAP program.
2	Universal Service Funds	Universal Service Rider	On July 6, 1999 Ohio Governor Robert Taft signed Amended Substitute Senate Bill 3 (S.B.3), the Electric Restructuring Act. This legislation conferred a number of new duties and funding sources on ODSA/OCA, which will result in some changes from the state's past activities and reports filed under the LIHEAP Leveraging Incentive program. In previous years Ohio's LIHEAP leveraging activities have centered around the Ohio Energy Credits Program (OEC) and the Percentage of Income Payment Plan (PIPP), plus cooling assistance. The latter program is not affected by S.B.3. However, the Electric Restructuring Act did require some significant changes in OEC and PIPP. As all of Ohio's previous reports have shown, OEC was instituted by the Ohio General assembly in the late 1970's and provided financial assistance to low-income elderly and disabled households to defray heating costs in winter. The Ohio General Revenue Fund supported OEC and those dollars were administered by the Ohio Department of Taxation. One feature of S.B.3 was to transfer the funding and administrative authority for OEC to ODSA/OCA. Further the statute required ODSA/OCA to consolidate OEC and LIHEAP into one program, so that eligible households could access both state and federal energy assistance via one application. This consolidation was accomplished in the FY2001 program. State General Revenue Funds were made available to ODSA/OCA for benefits and administrative costs on July 1, 2000. With respect to PIPP, S.B.3 conferred administrative responsibilities and a funding source on ODSA/OCA for PIPP electric accounts only. Beginning in FY2001, ODSA/OCA began to operate the PIPP program on behalf of low-income customers of Ohio's investor-owned electric distribution companies. Natural gas PIPP account administration remains the responsibility of investor-owned gas distribution companies and was not affected by S.B.3. A fuller explanation of PIPP can be found below. The Electric Restructuring Act directed electric distribution companies to collect from all ratepayer classes a "Universal Service Rider," i.e., a surcharge on retail electric sales. This rider replaces PIPP's current funding source, also collected from all ratepayers. The difference between the PIPP and Universal Service Riders, spelled out in the state legislation, is that Universal Service Rider collections are remitted to ODSA/OCA to be deposited in the Universal Service Fund (USF) maintained in the State Treasury. However S.B.3 authorizes the USF, administered by ODSA/OCA, to support PIPP, its administrative costs and energy efficiency and consumer education services targeted to PIPP households. In collaboration with staff from the Public Utilities Commission of Ohio (PUCO), ODSA/OCA staff calculated recommended Universal Service Rider rates. The recommendations were presented to the Public Benefits Advisory Board (also created by S.B.3) to assist the Director of ODSA in devising and implementing the Universal Service program), which then advised the Director to ask PUCO to order the investor-owned electric distribution companies to put them into effect. The electric companies began charging Universal Service Rider rates on September 1, 2000, and began remitting those funds to ODSA the following month. Regulations governing the Universal Service program were filed with the Ohio General Assembly's Joint Legislative Committee on Agency Rule Review (JCARR) on July 10, 2000. New rules for administering the Universal Service program for customers of electric distribution utilities were final and filed with JCARR on December 7, 2009 with an effective date of November 1, 2010 and approved in February 2010. The new Universal Service program is called PIPP Plus and contains an arrearage credit component.

3	Percentage of Income Payment Plan (PIPP)	PUCO	<p>The Public Utilities Commission of Ohio (PUCO), in its ruling in case number 83-303-GE-COI created the Percent of Income Plan (PIPP). In its Opinion and Order, the PUCO established an eligibility standard for participation in PIPP at 150% of the federal poverty guidelines, explicitly citing its adoption of general LIHEAP standards as a known and verifiable criterion for which an agency, namely Ohio's Home Energy Assistance Program, already existed. The ODSA/OCA, was involved throughout the litigation of the 83-303 case provided considerable testimony and information to PUCO about LIHEAP-eligible families and energy affordability problems they face. The Commission by its ruling in 83-303-GE-COI and subsequent cases, has established in the Ohio Administrative Code the direct role of Ohio's LIHEAP program in determining whether a household meets the 150% of the poverty standard and a requirement that anyone enrolling in PIPP must also apply for LIHEAP assistance (Rules 4901:1-18-01 through 4901:1-18-12 of the Ohio Administrative Code). During the life of Ohio's PIPP, utilities under PUCO jurisdiction and Ohio HEAP have continued to define and refine the connections between PIPP and HEAP. For example, the crisis assistance program includes a requirement that applicants enroll or be reinstated in PIPP or an alternative payment plan and the amount of the crisis assistance benefit is calculated according to the PIPP rules cited above. Eventually this led to the creation of a combination (or simultaneous) HEAP/PIPP application. The evolution of PIPP and its integration with HEAP in Ohio has been ongoing since December 1, 1983. Crisis assistance benefits are specifically calculated in terms of PIPP and enrollment criteria include application for LIHEAP. The PUCO, in the original 83-303 Opinion expressed in its vision of a truly coordinated and interdependent program to assist low-income Ohio Utility customers and Ohio HEAP. The Commission and companies under its jurisdiction have jointly addressed that goal since December, 1983. In 1990, the Commission initiated case number 90-705-GE-PIPP. The purpose of this case was to review and modify certain aspects of the PIPP program in light of utilities' and Ohio HEAP's experience with the program over the past several years, especially since the development of the HEAP/PIPP combined application mentioned above. Negotiations took place among the ODSA/OCA, PUCO staff and representatives of Ohio's regulated natural gas and electric utilities. In June, 1991 those parties signed a stipulation, which, among other regulatory changes, established a system whereby the ODSA/OCA was authorized to perform a service previously carried out by the utilities. Because Ohio HEAP certified or confirms the income eligibility of households to participate in PIPP, the next logical step was for the state office to reverify PIPP eligibility. This means Ohio HEAP certifies that a household remains eligible for PIPP because its income is still at or below 150% of the poverty guidelines. This process also establishes a household's new monthly PIPP payment, based on any changes in income identified by HEAP. The utilities for whom Ohio HEAP performs PIPP income re-verification will compensate the state office for this service on a per-account basis. The state will incur no additional administrative costs in providing the utilities with the information they need to administer PIPP. In the administration of the PIPP program there have been several accommodations with utility companies that leverage resources for HEAP recipients. Based on contracts with the ODSA, utilities were no longer allowed to charge security deposits for customers being enrolled in the PIPP program. With the adoption of the new PIPP Plus rules that became effective November 1, 2010, neither natural gas nor electric companies will be permitted to charge security deposits or late fees to PIPP customers.</p>
4	Percentage of Income Payment Plan (PIPP) continued	PUCO	<p>When the Crisis HEAP customer enrolls in PIPP, they are required to only pay the initial PIPP payment. Under the revised rules, PIPP payments are 6% of the monthly income or a \$10 minimum payment, whichever is greater for natural gas and the greater of 6% of the monthly household income or \$10 for electricity. Total electric households will pay the greater of 10% of the monthly household income or \$10. Additionally, to try to incentivize better payment behavior under the new rules, every month a PIPP customer pays their installment on-time and in-full, they will receive an arrearage credit of 1/24th of the accumulated arrearage as of November 1, 2010 and a credit of the remainder of the bill (delta) for that particular month.</p>
5	LIHEAP Weatherization	ODSA	<p>Up to 15% of Ohio's LIHEAP grant can be transferred to the Home Weatherization Assistance Program as authorized by Section 5117.21 of the Ohio Revised Code. The transferred LIHEAP monies were then held out for a match by private utility companies. Three companies, East Ohio Gas, Columbia Gas and Dayton Power and Light put up their funds to provide weatherization services to their low-income customers. Coordination of services to Ohioans with incomes at or below 150% of the federal poverty guidelines has always been a major goal and effort of the Ohio Office of Community Assistance. Rules promulgated by the Public Utilities Commission of Ohio (PUCO) mandate that households apply for both HEAP and HWAP when enrolling in the Percent of Income Payment Plan (PIPP Plus). Households with unusually high consumption are targeted for services made possible by the combination of LIHEAP Weatherization and utility dollars. * Leveraged resources/benefits that are counted under criterion (iii) in 45 CFR 96.87(d)(2) must be identified and described in the grantee's LIHEAP plan and distributed as indicated in the plan. In addition, leveraging resources/benefits that are counted under criterion (ii) must be carried out under one or more components of the grantee's regular LIHEAP program.</p>
6			

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

Section 15: Training

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

a. Grantee Staff:

Formal training on grantee policies and procedures

How often?

Annually

Biannually

As needed

Other - Describe:

Employees are provided with policy manual

Other-Describe:

b. Local Agencies:

Formal training conference

How often?

Annually

Biannually

As needed

Other - Describe:

On-site training

How often?

Annually

Biannually

As needed

Other - Describe:

Employees are provided with policy manual

Other - Describe

c. Vendors

Formal training conference

How often?

Annually

Biannually

As needed

Other - Describe:

Policies communicated through vendor agreements

Policies are outlined in a vendor manual



Other - Describe:

Quick Reference for vendors to access OCEAN.

15.2 Does your training program address fraud reporting and prevention?

Yes

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

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

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

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

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

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

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

The Ohio Community and Energy Assistance Network (OCEAN) is the database used by the Office of Community Assistance to manage clients, capture metrics on the programs administered by this office and build reports. OCEAN already captures most of the data necessary to build a report based on the four required performance measures. The database will be fully capable of providing the required data for the performance measures by the end of the federal fiscal year.

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
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**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:

- OCA has in place a dedicated email address for fraud reporting.
- Forms: OCEAN tickets, forms with fax number, dedicated email address

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:

- Annual Energy Assistance Kickoff Training (attached agency schedule and agenda)
- Energy Assistance Guidelines (attached)

17.2. Identification Documentation Requirements

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

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

		✓		✓		✓	
	Other	Applicant Only Required	Applicant Only Requested	All Adults in Household Required	All Adults in Household Requested	All Household Members Required	All Household Members Requested
1	Social Security Card is photocopied and retained for household members 12 months or older.						

b. Describe any exceptions to the above policies.

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:

Central Client Database run reconciliation SSN, address

17.4. Citizenship/Legal Residency Verification

What are your procedures for ensuring that household members are U.S. citizens or aliens who are qualified to receive LIHEAP benefits? Select all that apply.

- Clients sign an attestation of citizenship or legal residency
- Client's submission of Social Security cards is accepted as proof of legal residency
- Noncitizens must provide documentation of immigration status
- Citizens must provide a copy of their birth certificate, naturalization papers, or passport
- Noncitizens are verified through the SAVE system
- Tribal members are verified through Tribal enrollment records/Tribal ID card
- Other - Describe:

17.5. Income Verification

What methods does your agency utilize to verify household income? Select all that apply.

- Require documentation of income for all adult household members
 - Pay stubs
 - Social Security award letters
 - Bank statements
 - Tax statements
 - Zero-income statements

Unemployment Insurance letters

Other - Describe:

- Tax statements: IRS transcript
- Zero-income statements: with assistance letter

Computer data matches:

Income information matched against state computer system (e.g., SNAP, TANF)

Proof of unemployment benefits verified with state Department of Labor
Social Security income verified with SSA
Utilize state directory of new hires
<input checked="" type="checkbox"/> Other - Describe: As a HEAP Grantee, we do not have access to JFS database for income verification.
17.6. Protection of Privacy and Confidentiality
Describe the financial and operating controls in place to protect client information against improper use or disclosure. Select all that apply.
<input checked="" type="checkbox"/> Policy in place prohibiting release of information without written consent
<input checked="" type="checkbox"/> Grantee LIHEAP database includes privacy/confidentiality safeguards
<input checked="" type="checkbox"/> Employee training on confidentiality for:
<input checked="" type="checkbox"/> Grantee employees
<input checked="" type="checkbox"/> Local agencies/district offices
<input checked="" type="checkbox"/> Employees must sign confidentiality agreement
<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
Other - Describe:
17.7. Verifying the Authenticity
What policies are in place for verifying vendor authenticity? Select all that apply.
All vendors must register with the State/Tribe.
All vendors must supply a valid SSN or TIN/W-9 form
Vendors are verified through energy bills provided by the household
Grantee and/or local agencies/district offices perform physical monitoring of vendors
Other - Describe and note any exceptions to policies above:
17.8. Benefits Policy - Gas and Electric Utilities
What policies are in place to protect against fraud when making benefit payments to gas and electric utilities on behalf of clients? Select all that apply.
<input checked="" type="checkbox"/> Applicants required to submit proof of physical residency
<input checked="" type="checkbox"/> Applicants must submit current utility bill
<input checked="" type="checkbox"/> Data exchange with utilities that verifies:
<input checked="" type="checkbox"/> Account ownership
Consumption
<input checked="" type="checkbox"/> Balances
<input checked="" type="checkbox"/> Payment history
<input checked="" type="checkbox"/> Account is properly credited with benefit
Other - Describe:
<input checked="" type="checkbox"/> Centralized computer system/database tracks payments to all utilities
<input checked="" type="checkbox"/> Centralized computer system automatically generates benefit level
<input checked="" type="checkbox"/> Separation of duties between intake and payment approval
<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

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

17.9. Benefits Policy - Bulk Fuel Vendors

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

<input checked="" type="checkbox"/> Vendors are checked against an approved vendors list
<input checked="" type="checkbox"/> Centralized computer system/database is used to track payments to all vendors
<input checked="" type="checkbox"/> Clients are relied on for reports of non-delivery or partial delivery
Two-party checks are issued naming client and vendor
<input checked="" type="checkbox"/> Direct payment to households are made in limited cases only
<input checked="" type="checkbox"/> Vendors are only paid once they provide a delivery receipt signed by the client
Conduct monitoring of bulk fuel vendors
<input checked="" type="checkbox"/> Bulk fuel vendors are required to submit reports to the Grantee
<input checked="" type="checkbox"/> Vendor agreements specify requirements selected above, and provide enforcement mechanism
Other - Describe:

17.10. Investigations and Prosecutions

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

<input checked="" type="checkbox"/> Refer to state Inspector General
<input checked="" type="checkbox"/> Refer to local prosecutor or state Attorney General
<input checked="" type="checkbox"/> Refer to US DHHS Inspector General (including referral to OIG hotline)
<input checked="" type="checkbox"/> Local agencies/district offices or Grantee conduct investigation of fraud complaints from public
<input checked="" type="checkbox"/> Grantee attempts collection of improper payments. If so, describe the recoupment process
Payment reversal / restitution plans
<input checked="" type="checkbox"/> Clients found to have committed fraud are banned from LIHEAP assistance. For how long is a household banned? 12 months
<input checked="" type="checkbox"/> Contracts with local agencies require that employees found to have committed fraud are reprimanded and/or terminated
<input checked="" type="checkbox"/> Vendors found to have committed fraud may no longer participate in LIHEAP
Other - Describe:

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

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

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

Instructions for Certification

- 1. By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.**
- 2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.**
- 3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.BrBbr.**
- 4. The prospective primary participant shall provide immediate written notice to the department or agency to which this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.**
- 5. The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.**
- 6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.**
- 7. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled ``Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," provided by the department or**

agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

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

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

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

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

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

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

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

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

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

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

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

Instructions for Certification

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or had become erroneous by reason of changed circumstances.
4. The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meaning set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
- 5. The prospective lower tier participant agrees by submitting this proposal that, [[Page 33043]] should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.**
- 6. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled ``Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.**
- 7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from covered transactions, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.**
- 8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is**

normally possessed by a prudent person in the ordinary course of business dealings.

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

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

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

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

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

Section 19: Certification Regarding Drug-Free Workplace Requirements

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

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

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

***Controlled substance* means a controlled substance in Schedules I through V of the**

Controlled Substances Act (21 U.S.C. 812) and as further defined by regulation (21 CFR 1308.11 through 1308.15);

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

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

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

Certification Regarding Drug-Free Workplace Requirements

Alternate I. (Grantees Other Than Individuals)

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

- (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
- (b) Establishing an ongoing drug-free awareness program to inform employees about --
 - (1) The dangers of drug abuse in the workplace;
 - (2) The grantee's policy of maintaining a drug-free workplace;
 - (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
 - (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;**
- c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);**
- (d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will --**
 - (1) Abide by the terms of the statement; and**
 - (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;**
- (e) Notifying the agency in writing, within ten calendar days after receiving notice under paragraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;**
- (f) Taking one of the following actions, within 30 calendar days of receiving notice under paragraph (d)(2), with respect to any employee who is so convicted --**
 - (1) Taking appropriate**

personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f).
(B) The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

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

Ohio Development Services Agency

*** Address Line 1**

Office of Community Assistance

Address Line 2

77 South High Street, 25th Floor, PO Box 1001

Address Line 3

Columbus

*** City**

Ohio

*** State**

43216-1001

*** 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).**