

DETAILED MODEL PLAN (LIHEAP)

Program Name: Low Income Home Energy Assistance

Grantee Name: MaChis Lower Creek Indian Tribe Of Alabama

Report Name: DETAILED MODEL PLAN (LIHEAP) Revision # 1

Report Period: 10/01/2025 to 09/30/2026

Report Status: Submission Accepted by CO (Revision #1)

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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.: 0970-013
Expiration Date: 02/28/2027

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

| | | | |
|---|--|---|---|
| * 1.a. Type of Submission: <input checked="" type="radio"/> Plan | * 1.b. Frequency: <input checked="" type="radio"/> Annual | * 1.c. Consolidated Application/Plan/Funding Request? Explanation: | * 1.d. Version: <input checked="" type="radio"/> Initial <input type="radio"/> Resubmission <input type="radio"/> Revision <input type="radio"/> Update |
| | | 2. Date Received: | State Use Only: |
| | | 3. Applicant Identifier: | 4a. Unique Entity Identifier (UEI) HA5BGKKZWE55 |
| | | 4b. Federal Award Identifier: | 5. Date Received By State: |
| | | 6. State Application Identifier: | |

7. APPLICANT INFORMATION

* a. Legal Name: Ma-Chis Lower Creek Indian Tribe of Alabama

* b. Address:

| | | | |
|-------------|----------------------------------|----------------------|----------------------------------|
| * Street 1: | 2950 Coffee County Road, Rm. 377 | Street 2: | 2950 Coffee County Road, Rm. 377 |
| * City: | ELBA | County: | AL |
| * State: | AL | Province: | |
| * Country: | United States | * Zip / Postal Code: | 36323 - |

c. Organizational Unit:

| | |
|-------------------------------------|-------------------------------------|
| Department Name: Social Services | Division Name: Energy Assistance |
|-------------------------------------|-------------------------------------|

d. Name and contact information of person to be contacted on matters involving this application: (person will be listed on Notice of Funding Awards and on the U.S. Department of Health and Human Services' LIHEAP contact list webpage)

| | |
|------------------------------------|---|
| * First Name: Nancy | * Last Name: Carnley |
| Title: Authorized Repesentative | Organizational Affiliation: Ma-Chis Lower Creek Indian Trt |
| * Telephone Number: 3348973207 | Fax Number 3348972950 |

* Email:
machiscreeks@outlook.com

* 8. TYPE OF APPLICANT:

J: Indian/Native American Tribal Government (Other than Federally Recognized)

* a. Is the applicant a Tribal Consortium: Yes No

* b. If yes please attach at least one the following documentation:

| | | |
|----------------------------|--|---|
| | Catalog of Federal Domestic Assistance Number: | CFDA Title: |
| 9. CFDA Numbers and Titles | 93.568 | Low-Income Home Energy Assistance Program |

10. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:

Low Income Energy Assitance Program

11. AREAS AFFECTED BY FUNDING:

Coffee Crenshaw Covington Geneva Houston Dale Pike

12. CONGRESSIONAL DISTRICTS OF APPLICANT:

AL01 AL02

13. FUNDING PERIOD:

| | |
|------------------------------|----------------------------|
| a. Start Date: 10/01/2025 | b. End Date: 09/30/2026 |
|------------------------------|----------------------------|

* 14. IS SUBMISSION SUBJECT TO REVIEW BY STATE UNDER EXECUTIVE ORDER 12372 PROCESS?

a. This submission was made available to the State under Executive Order 12372

| | |
|--|--|
| Process for review on: | |
| <p>b. Program is subject to E.O. 12372 but has not been selected by State for review.</p> <p>c. Program is not covered by E.O. 12372.</p> | |
| *15. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT? | |
| <input type="radio"/> YES <input checked="" type="radio"/> NO | |
| If Yes, explain: | |
| <p>16. 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)</p> <p>**I Agree <input checked="" type="checkbox"/></p> | |
| <p>** 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.</p> | |
| 17a. Typed or Printed Name and Title of Authorized Certifying Official Nancy Carnley | 17c. Telephone (area code, number and extension) |
| 17b. Signature of Authorized Certifying Official  | 17d. Email Address machiscreeks@outlook.com |
| 17e. Date Report Submitted (Month, Day, Year) 09/19/2025 | |

Section 1 - Program Components

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

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

OMB Clearance No.: 0970-013

Expiration Date: 02/28/2027

LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP) MODEL PLAN

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. Public reporting burden for this collection of information is estimated to average 1 hour per response, including the time for reviewing instructions, gathering and maintaining the data needed, and reviewing the collection of information. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.

Section 1 Program Components

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

| 1.1 Check which components you will operate under the LIHEAP program. (Note: You must provide information for each component designated here as requested elsewhere in this plan.) | | Dates of Operation | |
|---|------------------------------|--------------------|------------|
| | | Start Date | End Date |
| <input checked="" type="checkbox"/> | Heating assistance | 10/01/2025 | 03/15/2026 |
| <input checked="" type="checkbox"/> | Cooling assistance | 06/01/2026 | 09/30/2026 |
| <input type="checkbox"/> | Summer crisis assistance | | |
| <input type="checkbox"/> | Winter crisis assistance | | |
| <input checked="" type="checkbox"/> | Year-round crisis assistance | 10/01/2025 | 09/30/2026 |
| <input checked="" type="checkbox"/> | Weatherization assistance | 10/01/2025 | 09/30/2026 |

Provide further explanation for the dates of operation, if necessary

N/A

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 (%) | Prior year totals |
|--|------------------|-------------------|
| Heating assistance | 30.00% | 30.00% |
| Cooling assistance | 30.00% | 40.00% |
| Summer crisis assistance | 0.00% | 10.00% |
| Winter crisis assistance | 0.00% | 10.00% |
| Year-round crisis assistance | 20.00% | 5.00% |
| Weatherization assistance | 15.00% | 0.00% |
| Carryover to the following federal fiscal year | 0.00% | 0.00% |
| Administrative and planning costs | 5.00% | 5.00% |
| Services to reduce home energy needs including needs assessment (Assurance 16) | 0.00% | 0.00% |
| Used to develop and implement leveraging activities | 0.00% | 0.00% |
| TOTAL | 100.00% | 100.00% |

Tribal grant recipients: direct-grant tribes, tribal organizations, or territories with allotments of \$20,000 or less may use for planning and administration up to 20% of the funds payable. Grant recipients that are direct grant tribes, tribal organizations, or territories with allotments over \$20,000 may use for planning and administration purposes up to 20% of the first \$20,000 (or \$4,000) plus 10% of the funds payable that exceeds \$20,000. Any administrative

costs in excess of these limits must be paid from non-federal sources.

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

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

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

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

1.4 Do you consider households categorically eligible if at least one household member receives at least one of the following categories of benefits in the left column below? Yes 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 | <input checked="" type="radio"/> Yes <input type="radio"/> No |
| SSI | <input checked="" type="radio"/> Yes <input type="radio"/> No |
| SNAP | <input checked="" type="radio"/> Yes <input type="radio"/> No |
| Means-tested Veterans Programs | <input type="radio"/> Yes <input checked="" type="radio"/> No |

1.4a. Provide your definition of categorical eligibility. Please explain how households are categorically eligible (i.e., do all household members need to receive the benefits or just one member, is there a data exchange in place?) and how categorical eligibility streamlines the LIHEAP application process.

a household is automatically considered income-eligible for energy assistance if **at least one member** receives benefits from certain public assistance programs. These programs include:

- Temporary Assistance for Needy Families (TANF)
- Supplemental Security Income (SSI)
- Supplemental Nutrition Assistance Program (SNAP)
 - **Faster processing:** Eligibility can be confirmed quickly through benefit verification.
 - **Reduced documentation:** Applicants don't need to submit extensive income proof. **Automatic enrollment:** Some programs may allow households to be enrolled without submitting a direct annual application. **Equitable treatment:** The plan includes provisions to ensure categorically eligible households are treated the same as others in terms of benefit determination

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

If Yes, explain:

Each client completes an application and submits the required documentation to verify income. If the client's household qualifies for TANF, SNAP (food stamps), or SSI, they are automatically approved. Households that do not receive TANF, SNAP, or SSI will be offered the same services once their application is complete, and all information has been verified. The tribe does not administer TANF, SSI, or SNAP; instead, clients apply directly for LIHEAP assistance through the tribe.

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?

A client who is not categorically eligible will receive the same application process and time frame as a client who is categorically eligible. Benefit levels are programmed into our eligibility matrix and are based on income, household size, and cost of energy.

SNAP Nominal Payments

1.7a Do you allocate LIHEAP funds toward a nominal payment for SNAP households? Yes 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: \$0.00

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? | | |
| N/A | | |
| 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 | |
| <input type="checkbox"/> | Other - Describe | |
| 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 checked="" type="checkbox"/> | Social Security Administration (SSA) benefits | |
| <input type="checkbox"/> | <input type="checkbox"/> Including MediCare deduction | <input checked="" type="checkbox"/> Excluding MediCare deduction |
| <input checked="" type="checkbox"/> | Supplemental Security Income (SSI) | |
| <input checked="" type="checkbox"/> | Retirement / pension benefits | |
| <input type="checkbox"/> | General Assistance benefits | |
| <input type="checkbox"/> | Temporary Assistance for Needy Families (TANF) benefits | |
| <input type="checkbox"/> | Loans that need to be repaid | |
| <input type="checkbox"/> | Cash gifts | |
| <input type="checkbox"/> | Savings account balance | |
| <input type="checkbox"/> | One-time lump-sum payments, such as rebates/credits, winnings from lotteries, refund deposits, etc. | |
| <input type="checkbox"/> | Jury duty compensation | |
| <input type="checkbox"/> | Rental income | |
| <input type="checkbox"/> | Income from employment through Workforce Investment Act (WIA) | |
| <input type="checkbox"/> | Income from work study programs | |
| <input type="checkbox"/> | Alimony | |
| <input type="checkbox"/> | Child support | |

| | |
|-------------------------------------|--|
| <input type="checkbox"/> | Interest, dividends, or royalties |
| <input type="checkbox"/> | Commissions |
| <input type="checkbox"/> | Legal settlements |
| <input type="checkbox"/> | Insurance payments made directly to the insured |
| <input type="checkbox"/> | Insurance payments made specifically for the repayment of a bill, debt, or estimate |
| <input checked="" type="checkbox"/> | Veterans Administration (VA) benefits |
| <input type="checkbox"/> | Earned income of a child under the age of 18 |
| <input type="checkbox"/> | Balance of retirement, pension, or annuity accounts where funds cannot be withdrawn without a penalty. |
| <input type="checkbox"/> | Income tax refunds |
| <input type="checkbox"/> | Stipends from senior companion programs, such as VISTA |
| <input type="checkbox"/> | Funds received by household for the care of a foster child |
| <input type="checkbox"/> | Ameri-Corp Program payments for living allowances, earnings, and in-kind aid |
| <input type="checkbox"/> | Reimbursements (for mileage, gas, lodging, meals, etc.) |
| <input type="checkbox"/> | Other |

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

1.10 Do you have an online application process Yes No

1.10a If yes, describe the type of online application (Select all boxes that apply)

| | |
|--------------------------|--|
| <input type="checkbox"/> | A PDF version of the application is available online and can be downloaded, filled out and mailed in for processing. |
| <input type="checkbox"/> | A state-wide online application that allows a customer to complete data entry and submit an application electronically for processing. |
| <input type="checkbox"/> | One or more locally available online applications that allows a customer to complete data entry and submit an application electronically for processing. |
| <input type="checkbox"/> | Online application that is also mobile friendly |
| <input type="checkbox"/> | Other, please describe |

Please include a link(s) to a statewide application, if available:

1.10b Can all program components be applied for online? Yes No

If no, explain which components can and cannot be applied for online.

The client may request that an application be emailed, mailed through the United States Postal Service, phone interview, or delivered via an in-home visit. They complete the application and provide all required documents.

1.11 Do you have a process for conducting and completing applications by phone Yes No

1.12 Do you or any of your subrecipients require in person appointments in order to apply Yes No

If yes, please provide more information regarding why in-person appointments are required and in what circumstances they are required.

- Verification of identity or documentation when electronic or mail submission is not feasible or secure.
- Assistance with completing applications for individuals who may have limited access to technology or need help understanding the process.
- Handling special circumstances such as crisis assistance or weatherization services that may require direct assessment or consultation.
- Supporting first-time applicants in navigating the process.
- Managing households with complex eligibility situations.
- Addressing the lack of access to online or phone application options.
- Providing immediate crisis intervention or support for energy-related emergencies.

1.13 How can applicants submit documentation for verification? Select all that apply:

| | |
|-------------------------------------|--|
| <input checked="" type="checkbox"/> | In-person |
| <input checked="" type="checkbox"/> | Mail |
| <input checked="" type="checkbox"/> | Email |
| <input type="checkbox"/> | Portal application |
| <input checked="" type="checkbox"/> | Other, please describe Home visits where the information is scanned via the use of a handheld portable scanner. |

Hidden for Section 1

Section 2 - HEATING ASSISTANCE

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

August 1987, revised 05/92, 02/95, 03/96, 12/98, 11/01
OMB Clearance No.: 0970-013
Expiration Date: 02/28/2027

LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP) MODEL PLAN

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? Yes No

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

Do you require an Assets test? Yes No

If yes, describe: Do you have additional/differing eligibility policies for:

Renters? Yes No

If yes, describe:

Renters Living in subsidized housing? Yes No

If yes, describe:

Renters with utilities included in the rent? Yes No

If yes, describe:

Do you give priority in eligibility to:

Older Adults (60 years or older)? Yes No

If yes, describe:

The application process prioritizes the elderly, disabled, and families with children under five, giving them first priority to complete the application. Afterwards, everyone else may apply. Home visits are conducted if necessary. The applications are mailed to all eligible households.

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Renters in subsidized housing must provide proof that the applicant is responsible for the energy bill. This can be obtained from the Housing Office or the energy provider. The minimum payment will be \$400.00, with a maximum of \$700.00.

The landlord is contacted regarding an energy bill with the applicant's address and energy provider contact details. After verifying with the energy provider, the applicant is informed of the payment amount, and a copy of the paid receipt is given to both the landlord and client. The renter must pay the rent excluding the amount of energy assistance paid directly to the energy provider. A receipt showing the rent paid must be submitted to the LIHEAP Director by the landlord. All energy assistance payments are made directly to the energy provider, with no exceptions.

Individuals with a disability? Yes No

If yes, describe:

The application process prioritizes the elderly, disabled, and families with children under five, giving them first priority to complete the application. Afterwards, everyone else may apply. Home visits are conducted if necessary. The applications are mailed to all eligible households.

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Young children?

Yes No

If yes, describe:

The application process prioritizes the elderly, disabled, and families with children under five, giving them first priority to complete the application. Afterwards, everyone else may apply. Home visits are conducted if necessary. The applications are mailed to all eligible households.

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Households with high energy burdens?

Yes No

If yes, describe:

The application process prioritizes the elderly, disabled, and families with children under five, giving them first priority to complete the application. Afterwards, everyone else may apply. Home visits are conducted if necessary. The applications are mailed to all eligible households.

The application process prioritizes the elderly, disabled, and families with children under five, giving them first priority to complete the application. Afterwards, everyone else may apply. Home visits are conducted if necessary. The applications are mailed to all eligible households.

Renters in subsidized housing must provide proof that the applicant is responsible for the energy bill. This can be obtained from the Housing Office or the energy provider. The minimum payment will be \$400.00, with a maximum of \$700.00.

The landlord is contacted regarding an energy bill with the applicant's address and energy provider contact details. After verifying with the energy provider, the applicant is informed of the payment amount, and a copy of the paid receipt is given to both the landlord and client. The renter must pay the rent excluding the amount of energy assistance paid directly to the energy provider. A receipt showing the rent paid must be submitted to the LIHEAP Director by the landlord. All energy assistance payments are made directly to the energy provider, with no exceptions

Other?

Yes No

If yes, describe:

Elderly, disabled individuals, families with children under five, and people with chronic health issues such as asthma, chronic obstructive pulmonary disease, diabetes, cardiac issues, hypertension, renal insufficiency or failure, and arthritis. The energy burden will be 20% spent on home energy. See attached heating matrix.

Explanations of policies for each "yes" checked above:

The elderly, disabled, and families with children under five are given first priority and available appointments to complete the application. The applications are mailed to these households, and if needed, home visits are made. Renters living in subsidized housing must provide proof that they are responsible for the energy bill. This proof can be obtained from the Housing Office or the energy provider. The minimum payment will be \$400.00, with a maximum of \$700.00. The landlord is contacted for an energy bill that includes the applicant's address and the energy provider's contact information. After verification with the energy provider, the applicant is notified of the payment amount, and copies of the paid receipt will be provided to both the landlord and the client. The landlord must provide proof that all rent payments, excluding the energy bill, have been made. For example, if the rent is \$900.00, including a \$200.00 energy bill, and the energy provider was paid \$400.00, then the client should pay \$500.00, with credit issued to the energy provider for the following month. Verification will continue next month following the same process. The client will be informed about the credit and the amount the landlord is charging for energy.

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.

The minimum amount will be \$400.00, with the maximum amount being to resolve the crisis. not to exceed \$700.00. The application process is given to the elderly, disabled, and families with children under the age of five first.

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 type="checkbox"/> Fuel type | |
| <input type="checkbox"/> Climate/region | |
| <input type="checkbox"/> Individual bill | |
| <input checked="" type="checkbox"/> Dwelling type | |
| <input type="checkbox"/> Energy burden (% of income spent on home energy) | |
| <input type="checkbox"/> Energy need | |
| <input type="checkbox"/> Other - Describe: | |

Elderly, disabled individuals, families with children under five, and people with chronic health issues such as asthma, chronic obstructive pulmonary disease, diabetes, cardiac issues, hypertension, renal insufficiency or failure, and arthritis. The energy burden will be 20% spent on home energy. See attached heating matrix.

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

2.6 Describe estimated benefit levels for the fiscal year for which this plan applies. *Please note: the maximum and minimum benefits must be shown in the payment matrix.*

| Minimum Benefit | \$400 | Maximum Benefit | \$700 |
|-----------------|-------|-----------------|-------|
| | | | |

2.7 Do you provide in-kind (e.g., blankets, space heaters) and/or other forms of benefits? Yes No

If yes, describe.

Blankets, electric heaters, gloves, socks, scarfs, toboggans, and hand warmers.

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

Section 3 - COOLING ASSISTANCE

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

August 1987, revised 05/92, 02/95, 03/96, 12/98, 11/01
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LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP) MODEL PLAN

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 component:

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

3.2 Do you have additional eligibility requirements for Cooling assistance? Yes No

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

Do you require an Assets test? Yes No

If yes, describe:

Do you have additional/differing eligibility policies for:

Renters? Yes No

If yes, describe:

Renters Living in subsidized housing? Yes No

If yes, describe:

Renters with utilities included in the rent? Yes No

If yes, describe:

Do you give priority in eligibility to:

Older Adults (60 years or older)? Yes No

If yes, describe:

Elderly, disabled individuals, families with children under five, and people with chronic health issues such as asthma, chronic obstructive pulmonary disease, diabetes, cardiac issues, hypertension, renal insufficiency or failure, and arthritis. The energy burden will be 20% spent on home energy. See attached heating matrix.

The minimum amount will be \$400.00, with the maximum amount being to resolve the crisis, not to exceed \$700.00. The application process is given to the elderly, disabled, and families with children under the age of five first.

Individuals with a disability? Yes No

If yes, describe:

Elderly, disabled individuals, families with children under five, and people with chronic health issues such as asthma, chronic obstructive pulmonary disease, diabetes, cardiac issues, hypertension, renal insufficiency or failure, and arthritis. The energy burden will be 20% spent on home energy. See attached heating matrix.

The minimum amount will be \$400.00, with the maximum amount being to resolve the crisis, not to exceed \$700.00. The application process is given to the elderly, disabled, and families with children under the age of five first.

Young children? Yes No

If yes, describe:

Elderly, disabled individuals, families with children under five, and people with chronic health issues such as asthma, chronic obstructive pulmonary disease, diabetes, cardiac issues, hypertension, renal insufficiency or failure, and arthritis. The energy burden will be 20% spent on home energy. See attached heating matrix.

The minimum amount will be \$400.00, with the maximum amount being to resolve the crisis, not to exceed \$700.00. The application process is given to the elderly, disabled, and families with children under the age of five first.

Households with high energy burdens? Yes No

If yes, describe:

Elderly, disabled individuals, families with children under five, and people with chronic health issues such as asthma, chronic obstructive pulmonary disease, diabetes, cardiac issues, hypertension, renal insufficiency or failure, and arthritis. The energy burden will be 20% spent on

home energy. See attached heating matrix.

The minimum amount will be \$400.00, with the maximum amount being to resolve the crisis, not to exceed \$700.00. The application process is given to the elderly, disabled, and families with children under the age of five first.

Other?

Yes No

If yes, describe:

Explanations of policies for each "yes" checked above:

The elderly, disabled, and families with children under five receive priority and available appointments to complete their applications. Applications are mailed to these households, and home visits are conducted if necessary. Renters in subsidized housing must provide proof of responsibility for the energy bill, which can be obtained from the Housing Office or the energy provider. The minimum payment is \$400.00, with a maximum of \$700.00. The landlord is contacted to obtain an energy bill showing the applicant's address and the energy provider's contact information. After verifying with the energy provider, the applicant is informed of the payment amount, and copies of the paid receipt are sent to both the landlord and the client. The landlord must provide proof that all rent payments, excluding the energy bill, have been made. For example, if the rent is \$900.00, including a \$200.00 energy bill, and the energy provider was paid \$400.00, then the client should pay \$500.00, with credit issued to the energy provider for the following month. This verification process is repeated each month. The client will be informed about the credit and the amount the landlord is charging for energy.

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

The minimum amount will be \$400.00, with the maximum amount being to resolve the crisis, not to exceed \$700.00. The application process is given to the elderly, disabled, and families with children under the age of five first.

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 the fiscal year for which this plan applies. Please note: the maximum and minimum benefits must be shown in the payment matrix.

| Minimum Benefit | \$400 | Maximum Benefit | \$700 |
|-----------------|-------|-----------------|-------|
|-----------------|-------|-----------------|-------|

3.7 Do you provide in-kind (e.g., fans, air conditioners) and/or other forms of benefits? Yes No

If yes, describe.

fans, air conditioners

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

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

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LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP) MODEL PLAN

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. If you administer multiple crisis assistance programs (winter, summer, and/or year-round), Include all program definitions.

Emergency crisis is a situation that provides relief following a natural or man-made disaster. It includes:

2. Loss of income due to the death of the wage earner, layoff, termination, or theft, supported by documentation from local law enforcement.
3. Natural disasters such as fires, tornadoes, direct winds, hurricanes, floods, snowstorms, ice storms, or other severe weather events declared by the National Weather Service or the Governor of Alabama.
4. Heating or cooling system failure, with temperatures exceeding 80°F or dropping below 30°F for three consecutive days.
5. Households that have received a shut-off notice and are within 48 hours of service disconnection.
6. Deliverable fuel clients who are out of fuel or within two days of running out, including those with a shut-off notice.
6. Since electric power is necessary to operate most heating

4.3 What constitutes a life-threatening crisis?

Life-threatening emergencies include being on life support (home ventilator), home oxygen, PAP/Bi-PAP machines for sleep apnea, nebulizer treatments for uncontrolled asthma with handheld inhalers, home hemodialysis, and medications like insulin or other essential drugs that require refrigeration. Also, individuals on home dialysis, external tube feedings, or intravenous feedings or fluids need verification by the attending Physician, Physician Assistant, or Nurse Practitioner.

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)

| | Winter Crisis | Summer Crisis | Year-Round Crisis |
|--|--------------------------|--------------------------|--------------------------|
| 4.6 Do you have additional eligibility requirements for Crisis Assistance? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

4.7 Check the appropriate boxes below to indicate type(s) of assistance provided 0

Do you require an Assets test?

| | | |
|--------------------------|--------------------------|--------------------------|
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|--------------------------|--------------------------|--------------------------|

Do you give priority in eligibility to:

Older Adults (60 years or older)?

| | | |
|--------------------------|--------------------------|-------------------------------------|
| <input type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
|--------------------------|--------------------------|-------------------------------------|

Individuals with a disability?

| | | |
|--------------------------|--------------------------|-------------------------------------|
| <input type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
|--------------------------|--------------------------|-------------------------------------|

Young Children?

| | | |
|--------------------------|--------------------------|-------------------------------------|
| <input type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
|--------------------------|--------------------------|-------------------------------------|

| | | | |
|--|--|--|-------------------------------------|
| Households with high energy burdens? | <input type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| Other (Specify): | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| In Order to receive crisis assistance: | | | |
| Must the household have received a shut-off notice or have a near empty tank? | <input type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| Must the household have been shut off or have an empty tank? | <input type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| Must the household have exhausted their regular heating benefit? | <input type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| Must renters with heating costs included in their rent have received an eviction notice? | <input type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| Must heating/cooling be medically necessary? | <input type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| Must the household have non-working heating or cooling equipment? | <input type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| Other (Specify): | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Do you have additional/differing eligibility policies for: | | | |
| Renters? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Renters living in subsidized housing? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Renters with utilities included in the rent? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Explanations of policies for each "yes" checked above: | | | |
| <p>Responsibility for Heating and Cooling Costs: Each household must show that they have an account in their name or meet the criteria of a renter or landlord applicant and are paying for heating and cooling costs.</p> <p>Income Based on Household Size: Each household must meet specific income guidelines (150% of the federal poverty income guideline) based on their household size.</p> <p>Renters: Individuals living in rental properties who pay a home energy supplier directly for their heating costs receive the same benefits as similarly situated homeowners.</p> <p>Renters in Subsidized Housing: Households living in publicly subsidized housing with utilities included as part of their monthly rent, provided they can document paying energy costs above the utility allowance included in their rent.</p> <p>The elderly, disabled, and families with children under five are given first priority and priority appointment slots to complete the application. These applications are mailed to these households, and home visits are made if needed.</p> <p>Renters in subsidized housing must provide proof that they are responsible for their energy bills. This proof can come from the Housing Office or the energy provider.</p> | | | |
| Determination of Benefits | | | |
| 4.8 How do you handle crisis situations? | | | |
| <input type="checkbox"/> | Separate component | | |
| <input checked="" type="checkbox"/> | Benefit Fast Track, no separate amount of crisis funds is issued. Rather benefits are issued to crisis customers within crisis response time frames. | | |
| <input type="checkbox"/> | Other - Describe: | <p>If a household has a 48-hour shut-off notice or is within 10% of running out of deliverable fuel and encounters an event beyond their control that prevents them from paying household heating costs, they will receive priority in their application process. The workers will collaborate with utility companies to arrange a payment commitment to avoid a shut-off. The application will be processed immediately upon receiving and verifying the necessary documentation. The maximum payment to resolve the crisis is \$1,000.00. The household must have exhausted their regular heating payments.</p> <p>Similarly, if a household has a 48-hour shut-off notice and faces an uncontrollable event preventing them from paying cooling costs, they will also receive priority treatment in their application process. The workers will work with utility companies to secure a payment commitment to prevent shut-off. The application will be processed immediately upon receipt and verification of documentation. The maximum assistance amount</p> | |
| 4.9 If you have a separate component, how do you determine crisis assistance benefits? | | | |
| <input type="checkbox"/> | Amount to resolve the crisis. \$0 | | |
| <input checked="" type="checkbox"/> | Other - Describe: | <p>Amount up to \$1,000.00</p> | |
| 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? | | | |
| <input checked="" type="radio"/> Yes <input type="radio"/> No Explain. | | | |

2950 Coffee County Road 377, Elba, Alabama 36323

4.11 Do you provide individuals who are individuals with a disability the means to:

Submit applications for crisis benefits without leaving their homes?

Yes No

If No, explain.

home visits, phone interviews

Travel to the sites at which applications for crisis assistance are accepted?

Yes No

If No, explain.

2950 Coffee County Road 377, Elba, Alabama 36323

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?

home visits, phone interviews

Benefit Levels, 2605(c)(1)(B)

4.12 Indicate the maximum benefit for each type of crisis assistance offered.

Winter Crisis \$0.00 maximum benefit

Summer Crisis \$0.00 maximum benefit

Year-round Crisis \$1,000.00 maximum benefit

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

Yes No If yes, Describe

Fans, air conditioners, space heaters, blankets, coats, gloves, scarfs, and toboggans.

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

Yes No

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

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

| | Winter Crisis | Summer Crisis | Year-round Crisis |
|-----------------------------------|--------------------------|--------------------------|-------------------------------------|
| Heating system repair | <input type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| Heating system replacement | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Cooling system repair | <input type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| Cooling system replacement | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Wood stove purchase | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Pellet stove purchase | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Solar panel(s) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Utility poles / gas line hook-ups | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Other (Specify): | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

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

Yes No

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

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

4.18 If you experience a natural disaster, do you intend to utilize LIHEAP crisis funds to address disaster related crisis situations? Yes 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 5 - WEATHERIZATION ASSISTANCE

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

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LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP) MODEL PLAN

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 | State Median Income | 60.00% |

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

5.3 If yes, name the agency and attach a copy of the Internal Agreement or Contract.

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

WEATHERIZATION - Types of Rules

5.5 Under what rules do you administer LIHEAP weatherization? (Check only one.)

| |
|--|
| <input checked="" type="checkbox"/> Entirely under LIHEAP (not DOE) rules |
| <input type="checkbox"/> Entirely under DOE WAP (not LIHEAP) rules |
| <input type="checkbox"/> Mostly under LIHEAP rules with the following DOE WAP rule(s) where LIHEAP and WAP rules differ (Check all that apply): |
| <input type="checkbox"/> Income Threshold |
| <input type="checkbox"/> 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 |
| <input type="checkbox"/> Weatherize shelters temporarily housing primarily low income persons (excluding nursing homes, prisons, and similar institutional care facilities). |
| <input type="checkbox"/> Other - Describe: |
| <input type="checkbox"/> Mostly under DOE WAP rules, with the following LIHEAP rule(s) where LIHEAP and WAP rules differ (Check all that apply.) |
| <input type="checkbox"/> Income Threshold |
| <input type="checkbox"/> Weatherization not subject to DOE WAP maximum statewide average cost per dwelling unit. |
| <input type="checkbox"/> Weatherization measures are not subject to DOE Savings to Investment Ration (SIR) standards. |
| <input type="checkbox"/> Other - Describe: |

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

5.6 Do you require an assets test? Yes No

5.7 Do you have additional/differing eligibility policies for :

| | |
|--|---|
| Renters | <input type="radio"/> Yes <input checked="" type="radio"/> No |
| Renters living in subsidized housing? | <input type="radio"/> Yes <input checked="" type="radio"/> No |
| Renters with utilities included in the rent? | <input type="radio"/> Yes <input checked="" type="radio"/> No |
| 5.8 Do you give priority in eligibility to: | |
| Older Adults? | <input checked="" type="radio"/> Yes <input type="radio"/> No |
| Individuals with a disability? | <input checked="" type="radio"/> Yes <input type="radio"/> No |
| Young Children? | <input checked="" type="radio"/> Yes <input type="radio"/> No |
| House holds with high energy burdens? | <input checked="" type="radio"/> Yes <input type="radio"/> No |

Other?

Yes No

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.

See attached matrix. Landlords must maintain all properties, including public housing and Section 8 housing. They do not provide weatherization repairs or replacements, which should be the landlord's responsibility. Please refer to the attached documents regarding landlords, tenants, and homeowners. The application process is first-come, first-served for the elderly, disabled, and families with children five years old and younger, except for the homebound, for whom a home visit is scheduled. The tribe conducts a yearly tribal census to determine the needs of its citizens. Payments will go to the households with the greatest needs. Points are based on the above matrix.

The tribe believes that, because of the limited mobility of the handicapped and the effects of aging, a higher temperature is needed to keep these households comfortable compared to others. Although the tribe is not obligated to consider these factors, there doesn't seem to be an explicit rule against doing so. Moreover, regulating temperature in mobile homes is challenging because of poor construction and insulation. Homes built before 1970 lack modern insulation, energy-efficient devices, and appliances. The tribe implements weatherization measures like caulking and weatherstripping.

Benefit Levels

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

5.9a If yes, what is the maximum? \$47,500

5.10 Do you use an Average Cost per Unit (ACPU)? Yes No

5.10a If so, what is the ACPU amount? \$0

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

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

| | |
|--|---|
| <input type="checkbox"/> Weatherization needs assessments/audits | <input type="checkbox"/> Energy related roof repair |
| <input checked="" type="checkbox"/> Caulking and insulation | <input checked="" type="checkbox"/> Major appliance repairs |
| <input type="checkbox"/> Storm windows | <input checked="" type="checkbox"/> Major appliance replacement |
| <input checked="" type="checkbox"/> Furnace/heating system modifications/repairs | <input type="checkbox"/> Windows/sliding glass doors |
| <input type="checkbox"/> Furnace replacement | <input checked="" type="checkbox"/> Doors |
| <input checked="" type="checkbox"/> Cooling system modifications/repairs | <input checked="" type="checkbox"/> Water Heater |
| <input type="checkbox"/> Water conservation measures | <input type="checkbox"/> Cooling system replacement |
| <input type="checkbox"/> Roof top solar | <input type="checkbox"/> Community solar projects |
| <input checked="" type="checkbox"/> Compact fluorescent light bulbs | <input type="checkbox"/> Other - Describe: |

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

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

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

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LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP) MODEL PLAN

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/fliers 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.
- Web Posting
- Email
- Texting
- Events
- Social Media
- Other (specify):
Send notices out thru the local school districts. Social media, emails to all tribal citizens

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

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

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

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LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP) MODEL PLAN

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 (indicate programs included) Tribal Food bank |
| <input checked="" type="checkbox"/> | Intake referrals to/from other programs (indicate programs included) Tribal food bank |
| <input type="checkbox"/> | One - stop intake centers |
| <input type="checkbox"/> | Other - Describe: |

The client is referred to the tribal food bank for food, and if the client is on a special diet, food is purchased for that specific client. Also, they are referred to the local colleges — Enterprise State Community College in Enterprise, Alabama; Wallace Community College in Dothan, Alabama; and Lurleen B. Wallace Community College in Andalusia, Alabama — for free GED classes. The Alabama Intertribal Council provides WIOA training, which includes job experience and classroom training. The client is also assisted with obtaining applications for food stamps, CHIP, ALL BABIES (a program for expecting mothers who do not qualify for Medicaid), and Medicaid. School supplies are provided to school-aged children. Use Child Find for children who need assistance prior to entering school, such as occupational therapy, physical therapy, or speech therapy

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

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LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP) MODEL PLAN

Section 8: Agency Designation, 2605(b)(6) - Assurance 6 (Required for state Grant recipients 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"/> | State Department of Welfare (administers TANF, SNAP, and/or Medicaid) |
| <input type="checkbox"/> | Economic Development Agency |
| <input checked="" type="checkbox"/> | Other - Describe: Tribal |

Include current list of subrecipient name, main office address (do not list P.O. Box), phone number, county(s) served, Congressional District, and UEI number. *Used for Near hotline and OCS Service Provider Tool and clearinghouse.*

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

If you selected "State Department of Welfare (administers TANF, SNAP, and/or Medicaid)" 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?

N/A

8.3 How do you provide alternate outreach and intake for cooling assistance?>

N/A

8.4 How do you provide alternate outreach and intake for crisis assistance?

N/A

| 8.5 LIHEAP Component Administration. | Heating | Cooling | Crisis | Weatherization |
|--|-------------------|-------------------|-------------------|-------------------|
| 8.5a Who determines client eligibility? | Tribal Government | Tribal Government | Tribal Government | Tribal Government |
| 8.5b Who processes benefit payments to gas and electric vendors? | Tribal Government | Tribal Government | Tribal Government | |
| 8.5c who processes benefit payments to bulk fuel vendors? | Tribal Government | Tribal Government | Tribal Government | |

| | | | | |
|--|--|--|--|-------------------|
| 8.5d Who performs installation of weatherization measures? | | | | Tribal Government |
|--|--|--|--|-------------------|

Include a current list of subrecipient(s) name, main office address (do not list P.O. Box), phone number, county(s) served, Congressional District, and UEI number.

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?

N/A Tribal

8.7 How many local administering agencies do you use? 0

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

Yes
 No

8.9 If so, why?

| | |
|-------------------------------------|--|
| <input type="checkbox"/> | Agency was in noncompliance with Grant recipient requirements for LIHEAP - |
| <input type="checkbox"/> | Agency is under criminal investigation |
| <input type="checkbox"/> | Added agency |
| <input type="checkbox"/> | Agency closed |
| <input checked="" type="checkbox"/> | Other - describe |

N/A

8.10 If a subrecipient is no longer providing LIHEAP, are you aware of prior-year LIHEAP funds being mismanaged or misspent? Yes
 No

8.10a If yes, please explain.

N/A

8.10b If you are aware, were other federal programs impacted such as CSBG, SSBG, Head Start, TANF, and Department of Energy Weatherization funding, etc. Yes No

8.10c If yes, please explain.

N/A

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

Section 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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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 No

Cooling Yes No

Crisis Yes No

Are there exceptions? Yes No

If yes, Describe.

N/A

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

A letter or email is sent to the client with the following information: the date of payment, the amount paid, check number, and classification (heating, cooling, weatherization, or 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?

The household is contacted 30-45 days after to verify that the payment was made to the client's account. All households receiving services are contacted to confirm if their payment was applied. This information is documented in the file.

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?

If any of the questions above require further explanation or clarification that cannot be provided in the fields, please attach a document with the additional information here. Each client must complete an application and submit the required documentation. Clients receiving TANF, SSI, or Food Stamps are automatically eligible for assistance. Since we are not federally recognized, the tribe does not operate a TANF or SNAP program. Additionally, it is part of our vendor agreement that households cannot be discriminated against for being a LIHEAP client.

SEE ATTACHED VENDOR POLICIES AND PROCEDURES

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

Yes No

If so, describe the measures unregulated vendors may take.

Verify that the company is registered with the Alabama Secretary of State and the Alabama Propane Gas Association.

Attach a copy of the template statewide vendor agreement or a policy that indicates local agreements must adhere to statewide policies and assurances.

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.: 0970-013
Expiration Date: 02/28/2027

LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP) MODEL PLAN

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

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

The client completes the application, provides a roll card, views the social security card for non-tribal household members, and submits a copy of the Alabama Driver's License. The application is verified for accuracy and completeness. Income is calculated to ensure it falls within the 150% poverty guidelines. Other low-income home energy assistance providers are contacted to prevent duplication of services among clients, spouses, social workers, family members, and others. The energy vendor is contacted for the correct amount owed. Then, the check is prepared and mailed to the vendor. The client is notified of the amount, check number, and date of payment. After 30-45 days, the client is contacted to verify if the energy bill was credited. SEE POLICIES AND PROCEDURES.

ATTACHMENT.10.1 – Please enhance your response to address the following areas: 1. Tracking of awards to ensure that funds are expended within the allowable contractual period. The request is only made after receiving a complete application, and the information is verified to ensure no duplication of services. The amount on the bill is also verified to be the correct amount. A drawdown is then done through the payroll management system (PMS). Then, the LIHEAP Account is monitored for deposits, and once that amount is verified in the assigned bank account, a check is written. Then the check number, amount, and date are written on the bill. A copy of the bill with information has two copies made. A copy with the account number marked through is mailed to the client. The date of the following is documented on the approved application. The date of request is noted if there is more than one approved application. The date the check was written and mailed. The checks are often delivered to the local energy provider. The check is mailed within 3 days of receiving the funds. 2. Tracking of obligations of funds. Obligation of federal funds means that a project sponsor received a federal commitment for reimbursement on a project. It is a crucial milestone in the project's development. Although helpful, the dollar amount, fund type, and date of obligation provide an incomplete picture of the situation. If a project was obligated, it does not necessarily mean that the project was initiated or completed in that year or that the obligation amount indicates the total cost of that project. Each phase of work with federal funds requires a separate obligation before an agency can begin federally reimbursable work for that phase. After an obligation takes place, the local agency may proceed with that phase. Local agencies proceed with a phase within six months of obligation. The schedule for completing a phase depends on multiple factors, including the magnitude of the project, the type of phase, and any delays that may arise. The initial recipient receives a letter of award which specifies the amount of the award, dates of service, contact information for the agency, and the Payment Management System. Then, the tribal citizens are notified of the award, along with the application dates. This information is shared on social media, via emails, letters through the U.S. Mail, and in-person telephone calls. Applications are distributed to the tribal citizens through email and U.S. Mail. Also, the applications are obtained at the appointment. The application is processed, and if approved, a drawdown is made for the specific amount needed. Monitor the bank account online to verify the deposit and confirm the account to which the money was transferred. Document the date, amount, and category the money went in, e., Heating, Cooling, Winter crisis, Cooling crisis, and weatherization. Write the check and document the information regarding the check to the client. Monitor the account to ensure funding is obligated. Winter is typically defined as the period from October 1 through March 15. The winter crisis is from October 1 through March 15 of each year. The cooling is from June 1 to September 30 of each year. The year-round crisis is from October 1 through September 30. Monitors ensure that all payments are categorized correctly. Complete the reports: Household report, Carry over, and Allotment report. Quarterly reports regarding the amounts spent and the number of clients served. 3. Tracking of vendor refunds. If a client dies, the energy provider is contacted to obtain whether the client or the family is scheduled to receive a fund. If the fund has not been given to the family, the refund is requested to be remitted to the Ma-Chis Tribe LIHEAP. If the refund has been given to the client or family, the family is required to reimburse the Tribe. 4. Separation of funding line items by component (heating, crisis, cooling, weatherization, etc.) and by federal fiscal year. The accounts are divided into the following categories according to the assigned fiscal year: Heating, from October 1 through March 15. The heating crisis lasts from October 1 through March 15, the cooling crisis lasts from June to September 30, and the year-round crisis spans from October 1 through September 30. The client completes the application, provides a roll card, and views a social security card for non-tribal household members and a copy of the Alabama Driver's License. The application is verified for accuracy and completeness. The income is calculated to ensure it falls within the 150% poverty guidelines. Other Low-income home energy assistance providers were contacted to ensure there is no duplication of services through clients, spouses, social workers, family members, and others. The energy vendor is contacted to confirm the correct amount owed. Then the check is prepared and mailed to the vendor. The client is notified of the payment amount, check number, and payment date. Then, after 30-45 days, the client is contacted to determine if the energy bill has been credited. INTAKE PROCESS 1. Timelines – The approval process is allowed 10 days from the time of application completion. Timeline begins at the time of full completion. 2. Process – At the time of application, the applicant is notified of the decision before leaving, including the amount of funds qualified to be paid on their behalf. The decision to pay is made since all information documentation has been verified. 3. Location – Applications are accepted at the MA-Chis Lower Creek Indian Tribe of Alabama Tribal Office, 2950 County Road 377, Elba, Alabama 36323. 4. Time 9 am-4 Pm Monday-Friday. If the applicant is homebound, an appointment is scheduled to contact this household. Additionally, appointments are scheduled on weekends to accommodate older people, those with disabilities, or individuals who face transportation challenges. 5. Priority is given to the elderly, disabled, veterans, and families with young children, below the age of five. 6. Determining Income Eligibility – a. What is countable income? It includes wages (gross income), self-employment, unemployment, SSA, SSI, retirement/pension, and how it is calculated. The monthly incomes are used to determine the annual rate for the household. b. The household must be at 150% of the federal poverty guidelines. 7. Renters – if utilities are included in your monthly rent paid, the landlord must sign an agreement with the Tribe. The household must have a valid utility bill. 8. Service area is within the following Alabama counties: Coffee, Crenshaw, Covington, Geneva, Houston, Henry, Barbour, Dale, Pike, Bullock, and Montgomery. 9. All files/applications are kept confidential. 10. No client shall be treated adversely. 11. Complete the LIHEPA /General Assistance Application 12. Required Documents – a. A form of ID – such as a driver's license, State ID, tribal ID card, or tribal enrollment verification. All household members age 18 and older must present ID. All household members who are tribal citizens must present tribal identification. b. Must present Social Security Card for all household members. The social security card is not kept, nor is a copy of the card. c. Income verification for all household members. d. Current utility bill. 13. Benefit Matrix – an updated matrix is submitted with the annual application and is used when determining benefits. Determination of Eligibility. The Tribe considers households categorically

eligible if one household member receives one or more of the following: TANF, SSI, SNAP, or Means-tested Veterans Programs. Each year, they must reapply for LIHEAP; it is not automatically renewed. If the applicant or household member still meets the criteria for the categorically programs. How the Tribe ensures there is no difference in treatment of categorically eligible households from those not receiving other public assistance when determining eligibility & benefit amounts. The Ma-Chis Lower Creek Indian Tribe of Alabama will utilize its existing payment matrix, which takes into consideration household income, household size, and energy costs. They also need to be within the service area. The highest benefits will be allocated to households with the lowest income and the largest family size. Households may also be made eligible where one or more individuals receive TANF, Food Stamps / SNAP, SSI, or certain means-tested veteran's program payments. Their benefit level will be as shown on the income by household size matrix. However, if their household exceeds the income threshold (and they are still categorically eligible), they will still receive the minimum payment shown for that household size. Our existing LIHEAP service area is the following Alabama counties: Coffee, Crenshaw, Covington, Geneva, Houston, Henry, Barbour, Dale, Pike, Bullock, and Montgomery. Income inclusions. The Tribe considers the following in determining income eligibility: Wages, self-employment income, unemployment insurance, supplemental security income, general assistance benefits, TANF, one-time lump sum payments, alimony, child support, Veterans Administration, and income tax refunds. The Tribe does not include Medicare, SNAP, retirement, strike pay, WIC, savings accounts, WIOA, jury duty, interest, commissions, insurance payments, funds for the care of foster children, or mileage reimbursements. [The law requires that households applying for energy assistance meet income guidelines to be eligible for LIHEAP benefits. (Maximum and minimum income guidelines are listed in section 2605(b) (2) of the law.) The law does not define for you what items or sources of funds are to be counted as income, so it is important to define what your tribe will count as income. Calculation of countable income. Base income is usually defined as the gross countable income of all persons living in the household. Income is based on the past month's income. Documentation can be a pay stub for the month or bi-weekly (and adjusted for a month). Benefit Determination: The current income and benefit matrix are attached. It includes income, household size, type of service, and amount of (possible) benefit. Energy Suppliers - Vendor Information: The Tribe makes payments directly to heating, cooling, and crisis energy suppliers. Client Notification of Amount of Assistance Paid: Eligible households will receive a copy of the authorization form at the time of intake, as outlined in the operational policy. Eligible applicants are instructed at the time of intake to monitor their monthly billing to ensure they receive LIHEAP benefits. The authorization form will have the household name, current address, and current account number for crediting purposes. A statement of procedure for following up with energy suppliers in the event of non-payment will be included in the information packet at the time of intake. Assurance that the supplier will charge the client in the normal billing process the cost difference between the actual cost and the amount of the LIHEAP payment. All area energy suppliers will have agreements with the Tribe. All energy suppliers will charge households in the normal billing process the difference between the actual cost of home energy and the amount of the LIHEAP payment. Eligible households will receive a copy of the authorization form at the time of intake, as outlined in the operational policy. Eligible applicants are instructed at the time of intake to monitor their monthly billing to ensure they receive LIHEAP benefits. The authorization form will have the household name, current address, and current account number for crediting purposes. A statement of procedure for following up with energy suppliers in the event of non-payment will be included in the information packet at the time of intake. DENIAL The reasons for denial are as follows: 1. Failure to complete the application or supply the requested information 2. Falsify documentation. 3. Not a Ma-Chis Lower Creek Indian Tribe of Alabama Tribal Citizen 4. Over income 5. Obtain energy assistance from another agency. APPEAL PROCESS The Ma-Chis Lower Creek Indian Tribe of Alabama provides for a fair hearing to any household that is denied assistance, if the application is not denied or approved within the established timelines, or if the benefits are less than the household believes they should be. Clients are informed of their rights when they sign the application. The applicant has the right to file an appeal for hearing before the Ethics Committee. The Ethics Committee consists of a 3 person panel that hears all complaints. If one is not satisfied with the Ethics Committee decision, one may appeal to Chief James Wright of the Ma-Chis Lower Creek Indian Tribe of Alabama. Then, you may file a complaint with the entire Tribal Council of the Ma-Chis Lower Creek Indian Tribe of Alabama, as well as with the Chief. This must be done in writing through the United States Registered mail within 14 business days of being denied. The address for the appeal is as follows: Ma-Chis Lower Creek Indian Tribe of Alabama, 64 Private Road 1312, Elba, Alabama 36323. This appeal may be for being denied, and/or delayed processing. Processing can only begin once all required information has been received and verifications have been completed. Definitions: Administrative Cost - The Tribe can allocate up to 20% of the first \$20,000 (or \$4,000) plus 10% of the remaining amount of funds payable to administration and planning. The Tribe has been applying (for simplicity, 5% of the full sum). The sum allocated for staffing is to be determined by the Tribe based on the geographic size of the area, the number to be served, the number of eligible households, the amount of funds available, and the complexity of the program. If a Tribe's allotment is small, it may decide that there are not enough funds to administer the program and pay adequate benefits. Administrative and program operating costs, excluding direct payment of benefits, encompass client intake, application processing, determining household eligibility, informing clients of their eligibility, making payments, collaborating with vendors, and maintaining records. Additional administrative tasks include preparing grant reports, attending fair hearings, working on the annual Tribal audit, monitoring program operations, preparing the annual application, and managing financial accounting and other costs associated with the Indirect Cost Rate Agreement negotiated with the federal government for all federal grant programs. Alien - Any person who is not a citizen or native of the United States. Appeal- provides for a fair hearing to any household that is denied assistance, if the application is not denied or approved within the established timelines, or if the benefits are less than the household believes they should be. Boarder - A person who lives in a household and pays a set amount for room and meals. Contagious Property - Real property with boundaries that touch the home site property, disregarding the presence of streets, roads, rivers, or streams. Crisis - This occurs when a household faces a sudden or unexpected event beyond its control, resulting in an inability to pay household heating costs. The resolution of the Crisis is to be done within 48 hours. Below are some examples: *Medical conditions *Sudden job loss or other benefits, income *Heating equipment malfunction *Domestic violence *Shut off notice. Denial-Decline the application due to failure to submit all required documentation, over income, having obtained services from another agency, or not being a tribal citizen. Elderly - A person aged 60 or over. Eligible Alien - A person who is not a United States citizen but who meets the alien status requirements in EP-175. He is included as an eligible household member with energy needs. Energy Burden/Expense- The percentage of a household's income that is used to pay for all home energy costs and needs. Expenditures occur when a check is cut for payment of the service agreed to in the purchase order, but for the actual cost. Food and Nutrition Services —a federal program that provides monthly benefits to help low-income households purchase the food they need for good health. Green Card - A slang term describing the Alien Registration Receipt Card (Form I-151 or Form I-551). Most versions of these forms are not green in color. Homeless - An individual who lacks a permanent or fixed residence. Homesite- Principal residence of applicant/recipient or energy household member. Illegal Alien - A person who (a) entered the United States without approval by the Immigration and Naturalization Service (INS) or (b) who, after entering legally, remained in the United States past the time limit granted by INS without authorization. Income - The Tribe considers all applicable income sources and their relationship to the household's gross income and income eligibility. Life-threatening Crisis - This exists when a household member's health and/or well-being would likely be endangered if assistance is not provided, such as in extreme cold or a fuel supply shortage. Resolving the life-threatening crisis is to be done within 18 hours. LIEAP (LOW INCOME ENERGY ASSISTANCE PROGRAM) - LIEAP provides for a one-time vendor payment annually to help eligible families pay their heating bills. Lump Sum - Money received with no anticipated recurrence. Medical Assistance (MEDICAID, MA) - A program to assist eligible aged, disabled, blind individuals, pregnant women, families, and/or children with the cost of medical care under Title XIX of the Social Security Act. Medicare-A is a program of health insurance for aged and disabled individuals who meet the program's eligibility requirements under Title XVIII of the Social Security Act. Migrant Farm Worker- A person who moves with the migrant stream to follow seasonal farm work employment and does not return to their permanent home each night. Obligation - An obligation occurs when funds are encumbered (i.e., through a purchase order or for the program's use). Project Share-Charitable donations, Private Living Arrangement- Housing owned by an individual or private company. Public Housing - Housing owned by the government. This can be apartments or houses. Renter- Any individual who pays rent for separate living quarters. Energy costs may be included in the rent or may be paid separately. Roomer - A person who lives in a house and pays a set amount for a room only. SERVICE Provider- A vendor that provides a heating or cooling source to Energy Program applicants. Supplemental Security Income (SSI) - A cash payment program administered by the Social Security Administration for low-income aged, blind, or disabled persons. Subsidized Housing - Any housing unit (household) that receives a federal subsidy to assist with utility bills. Temporary Assistance to Needy Families (TANF)- TANF is an assistance

program which provides a money payment and medical assistance to certain relatives and children when the children have been deprived of parental support and care due to the death, physical or mental incapacity, continued absence of either parent from the home, or unemployment of one or both parents. Temporary Resident Status-- One-year period for which an alien has lawfully been granted the privilege of residing in the United States. The temporary status may be removed after one year, depending on whether the Immigration Office rules favorably or unfavorably on granting permanent resident status to the alien. Tribal Citizen- A person who belongs to the Ma-Chis Lower Creek Indian Tribe of Alabama. Tribal Identification Card - A card that displays the name of the Tribal citizen and their roll number. Tribe Ma-Chis Lower Creek Indian Tribe of Alabama. Vulnerable - A household is said to be vulnerable if it is subject to the rising cost of heating and has a heat source. Fully Vulnerable Household - A vulnerable household lives in a private living arrangement, is subject to the rising cost of heating, and has a heat source. Also includes households living in public housing where utilities for heat are billed separately from the rent or where utilities for heat are included in the rent, and the household has paid an excess in utilities for heat in the last 12 months at the current address. NOT Vulnerable Household - A household that is not subject to the cost of heating. Individuals who reside in an institution are not considered vulnerable. INTERNAL CONTROLS The basic purpose of Internal Control is to promote the efficient operation of this organization. The system of Internal Control will consist of measures employed by MCLCITA to (1) safeguard assets from waste, fraud, and inefficient use; (2) promote accuracy and reliability in the accounting records; (3) encourage and measure compliance with company policies, and (4) evaluate the efficiency of operations. Internal Control consists of all measures taken to provide management with assurance that everything in the organization is functioning properly. CASH RECEIPTS AND DISBURSEMENTS Control objectives: To maintain control over all cash and checks received and to ensure that all cash receipts and disbursements are processed with adequate documentation and authorization. Procedures: 1. Banking Arrangements a. The Board of Directors will authorize those individuals to act as signatories. b. One handwritten or facsimile signature is sufficient on all checks less than \$1,000. Two signatures are required on all checks \$1,000 or greater. c. Any check made payable to an authorized signatory must be signed by a signatory other than the payee. d. Authorized check signers are not permitted to delegate this authority. e. Banks must be notified immediately when an authorized check signer leaves the organization's employment. f. All check signers must be bonded. 2. Bank Transfers a. Only authorized check signers may do transfers between bank accounts. 3. Cash Receipts a. The person opening mail must not be the person responsible for maintaining accounts receivable or other financial records. b. All incoming checks or money orders must be restrictively endorsed immediately upon receipt. c. All checks and currency should be deposited as soon as reasonably possible. Checks and currency that are not immediately deposited must be placed in a locked safe. d. All cash receipts must be recorded as of the date checks or currency are received 4. Cash Disbursements: a. All bank accounts must be recorded in the general ledger accounts. b. All disbursements from bank accounts must be made on prenumbered checks. Copies and documentation must be kept for all voided or canceled checks. d. All checks presented for manual signature must be accompanied by supporting documents. e. Blank checks must never be signed. f. All unused checks must be stored in a locked file at the close of each day. 5. Reconciliation of Bank Accounts a. All bank accounts must be reconciled monthly by the bookkeeper and reviewed by the Executive Director, no later than fifteen business days after receipt of the bank statement. b. A copy of the bank statements and reconciliations will be presented to the Treasurer within 30 days of receipt of the statement. 6. Petty Cash a. A petty cash drawer may be kept covering miscellaneous daily business expenses such as postage, etc. b. The petty cash drawer shall contain no more than \$50 in currency at any given time. c. The petty cash drawer shall be stored in a locked file at the close of each day. d. Each petty cash transaction shall include an attached description of the transaction, which shall include the amount taken, date, responsible person, and the purpose for which the funds are being used. A receipt must be attached to each description. e. Bookkeeper shall not replenish the petty cash drawer until it has been reconciled and entered into the general ledger. MAINTENANCE OF RECORDS Control Objectives: To assure that the organization is maintaining adequate records. Procedures: 1. All organization data processing records must be "backed-up" daily, with backup tapes being stored either in a fire-proof locked cabinet inaccessible by the bookkeeper or off-site by a person other than the bookkeeper. 2. Hard copies of all loan files shall be kept in a locked file cabinet. 3. Hard copies of supporting documentation and appropriate authorization for all general ledger entries. The bookkeeper shall keep entries. PAYMENT OF EXPENSES Control Objective: To ensure that expenses are properly authorized, calculated, and classified. Procedures: The bookkeeper shall be authorized to pay the organization's expenses during normal operations. In the bookkeeper's absence, the Executive Director will pay such expenses. 1. A check request voucher must accompany all invoices presented for payment. 2. All check request vouchers must be signed by the individual making the request and by the Executive Director. 3. All check request vouchers should include the date of activity and the general ledger account and class to which the payment should be applied. 4. Original invoices should be attached to check requests whenever possible. All invoices that are not originals must be verified before payment is made. 5. A detailed expense report must accompany any request for reimbursement. 6. Payments are made to the vendor within three (3) business days of approval of the application, except for (a) crisis 48-hour life, (b) life and death crisis 18 hours 7. The payments are noted as follows, including the fiscal year (October 1 to September 30): A. Crisis 1. Heating 2. Cooling 3. Year-Round B. Heating 10-01st through March 15. C. Cooling June 1 through September 30. D. Weatherization year-round. E. Administrative- postage year-round. PROCESS A. Applications are taken 1. Processed for Crisis, and if a crisis is determined to be life-threatening or immediate action is required, 2. All information is verified, and vendors are notified of the payment amount. 3. Upon approval of the application, a payment request is made to Payment Management Systems 4. Money is deposited directly into the account. Checks are written and mailed to the vendors. 6. The clients are notified of the amount of the check and the check number. 7. 30 to 35 days after the check is issued, the client is contacted regarding the credit to the energy account. PAYROLL PROCESSING/PERSONNEL RECORDS Control Objective: To ensure that all employees receive proper compensation and all adjustments have been duly authorized. Procedures: The bookkeeper shall maintain personnel files and records. The Bookkeeper shall be responsible for maintaining accurate and up-to-date records, ensuring compliance with governmental regulations and standards, adequately safeguarding all personnel records, and restricting access to authorized individuals. 1. Concerning payroll disbursements, no cash payments shall be permitted. 2. No payroll disbursements shall be made without the approval of the Executive Director. 3. Timely remittance of payroll taxes shall be the responsibility of the bookkeeper. The Executive Director shall approve it. 4. All changes to employees' compensation must be evidenced by a memo, a copy of a performance appraisal, minutes, etc. 5. All personnel files shall be kept in a locked file cabinet. 6. Access to personnel files shall be limited to the bookkeeper and Executive Director unless otherwise authorized by the Executive Director. The Executive Director's file shall be made available to the Board of Directors upon request. PROPERTY AND EQUIPMENT (INCLUDING FURNITURE) Control Objective: To maintain control at all points in the acquisition and recording of capital expenditures and to safeguard all property and equipment. Procedures: 1. The Executive Director must approve the purchase of all assets. 2. The acquisition or disposal of all assets should be duly recorded in appropriate detail records. An item shall be classified as an asset if it lasts more than a year and costs \$500 or more. 3. All transactions should be properly accumulated and categorized in the accounts. 4. There should be physical safeguards over property and equipment. 5. Subsidiary records should be maintained for individual assets by the Office Manager. These records should include a. A complete description. b. Type of equipment. c. Date of acquisition. d. Purchase price, cost of installation, and any other element of capitalized cost. e. Estimated useful life, depreciation method, and rate. 6. Subsidiary records shall be reconciled to the general ledger at least quarterly. 7. Fully depreciated assets and corresponding depreciation reserves shall continue to be carried in the general ledger. 8. Fixed assets shall not be moved, loaned, or otherwise disposed of without written authorization from the Executive Director. 9. A complete inventory of fixed assets shall be taken at least once every year. MLCITA will use the most current HHS poverty guidelines when assessing income eligibility. The current guidelines are published in the Federal Register and are available on the HHS website www.hhs.gov. The income of all members of each family unit must be included in determining the income eligibility. A family unit may be either: (1) related individuals; or (2) an unrelated individual. The term "related individuals" means two or more persons related by birth, marriage, and/or adoption who reside together. The term "unrelated individual" means an individual who is not an inmate of an institution: (1) who resides alone or (2) who lives with one or more persons who are not related to them by birth, marriage, and/or adoption. Each person 18 and older must provide proof of income, regardless of tribal status. Income includes total annual cash receipts before taxes from all sources, with the exceptions noted below. Specifically, income includes: • Wages and salaries before any deductions. • Net receipts from nonfarm self-employment (receipts from a person's own unincorporated business, professional enterprise, or partnership, after deductions for business expenses). • Net receipts from farm self-employment (receipts from a farm that one operates as an owner, renter, or sharecropper, after deductions for

farm operating expenses). • Regular payments from Social Security, railroad retirement, unemployment compensation, strike benefits from union funds, workers' compensation, veterans' payments, and public assistance (including Temporary Assistance for Needy Families, Supplemental Security Income, and nonfederal-funded General Assistance or General Relief money payments), and training stipends. • Alimony, child support.

10.1a Provide your definitions of the following:

Obligation

. Tracking of awards to ensure that funds are expended within the allowable contractual period. The request is only made after receiving a complete application, and the information is verified to ensure no duplication of services. The amount on the bill is also verified to be the correct amount. A drawdown is then done through the payroll management system (PMS). Then, the LIHEAP Account is monitored for deposits, and once that amount is verified in the assigned bank account, a check is written. Then the check number, amount, and date are written on the bill. A copy of the bill with information has two copies made. A copy with the account number marked through is mailed to the client. The date of the following is documented on the approved application. The date of request is noted if there is more than one approved application. The date the check was written and mailed. The checks are often delivered to the local energy provider. The check is mailed within 3 days of receiving the funds. 2. Tracking of obligations of funds Obligation of federal funds means that a project sponsor received a federal commitment for reimbursement on a project. It is a crucial milestone in the project's development. Although helpful, the dollar amount, fund type, and date of obligation provide an incomplete picture of the situation. If a project was obligated, it does not necessarily mean that the project was initiated or completed in that year or that the obligation amount indicates the total cost of that project. Each phase of work with federal funds requires a separate obligation before an agency can begin federally reimbursable work for that phase. After an obligation takes place, the local agency may proceed with that phase. Local agencies proceed with a phase within six months of obligation. The schedule for completing a phase depends on multiple factors, including the magnitude of the project, the type of phase, and any delays that may arise. The initial recipient receives a letter of award which specifies the amount of the award, dates of service, contact information for the agency, and the Payment Management System. Then, the tribal citizens are notified of the award, along with the application dates. This information is shared on social media, via emails, letters through the U.S. Mail, and in-person telephone calls. Applications are distributed to the tribal citizens through email and U.S. Mail. Also, the applications are obtained at the appointment. The application is processed, and if approved, a drawdown is made for the specific amount needed. Monitor the bank account online to verify the deposit and confirm the account to which the money was transferred. Document the date, amount, and category the money went in, e., Heating. Cooling. Winter crisis, Cooling crisis, and weatherization. Write the check and document the information regarding the check to the client. Monitor the account to ensure funding is obligated. Winter is typically defined as the period from October 1 through March 15. The winter crisis is from October 1 through March 15 of each year. The cooling is from June 1 to September 30 of each year. The year-round crisis is from October 1 through September 30. Monitors ensure that all payments are categorized correctly. Complete the reports: Household report, Carry over, and Allotment report. Quarterly reports regarding the amounts spent and the number of clients served. 3. Tracking of vendor refunds. If a client dies, the energy provider is contacted to obtain whether the client or the family is scheduled to receive a fund. If the fund has not been given to the family, the refund is requested to be remitted to the Ma-Chis Tribe LIHEAP. If the refund has been given to the client or family, the family is required to reimburse the Tribe. 4. Separation of funding line items by component (heating, crisis, cooling, weatherization, etc.) and by federal fiscal year. The accounts are divided into the following categories according to the assigned fiscal year: Heating, from October 1 through March 15. The heating crisis lasts from October 1 through March 15, the cooling crisis lasts from June to September 30, and the year-round crisis spans from October 1 through September 30. The client completes the application, provides a roll card, and views a social security card for non-tribal household members and a copy of the Alabama Driver's License. The application is verified for accuracy and completeness. The income is calculated to ensure it falls within the 150% poverty guidelines. Other Low-income home energy assistance providers were contacted to ensure there is no duplication of services through clients, spouses, social workers, family members, and others. The energy vendor is contacted to confirm the correct amount owed. Then the check is prepared and mailed to the vendor. The client is notified of the payment amount, check number, and payment date. Then, after 30-45 days, the client is contacted to determine if the energy bill has been credited. INTAKE PROCESS 1. Timelines – The approval process is allowed 10 days from the time of application completion. Timeline begins at the time of full completion. 2. Process – At the time of application, the

applicant is notified of the decision before leaving, including the amount of funds qualified to be paid on their behalf. The decision to pay is made since all information documentation has been verified. 3. Location – Applications are accepted at the MA-Chis Lower Creek Indian Tribe of Alabama Tribal Office, 2950 County Road 377, Elba, Alabama 36323. 4. Time 9 am-4 Pm Monday-Friday. If the applicant is homebound, an appointment is scheduled to contact this household. Additionally, appointments are scheduled on weekends to accommodate older people, those with disabilities, or individuals who face transportation challenges. 5. Priority is given to the elderly, disabled, veterans, and families with young children, below the age of five. 6. Determining Income Eligibility – a. What is countable income? It includes wages (gross income), self-employment, unemployment, SSA, SSI, retirement/pension, and how it is calculated. The monthly incomes are used to determine the annual rate for the household. b. The household must be at 150% of the federal poverty guidelines. 7. Renters – if utilities are included in your monthly rent paid, the landlord must sign an agreement with the Tribe. The household must have a valid utility bill. 8. Service area is within the following Alabama counties: Coffee, Crenshaw, Covington, Geneva, Houston, Henry, Barbour, Dale, Pike, Bullock, and Montgomery. 9. All files/applications are kept confidential. 10. No client shall be treated adversely. 11. Complete the LIHEPA /General Assistance Application 12. Required Documents – a. A form of ID – such as a driver's license, State ID, tribal ID card, or tribal enrollment verification. All household members age 18 and older must present ID. All household members who are tribal citizens must present tribal identification. b. Must present Social Security Card for all household members. The social security card is not kept, nor is a copy of the card. c. Income verification for all household members. d. Current utility bill. 13. Benefit Matrix – an updated matrix is submitted with the annual application and is used when determining benefits. Determination of Eligibility. The Tribe considers households categorically eligible if one household member receives one or more of the following: TANF, SSI, SNAP, or Means-tested Veterans Programs. Each year, they must reapply for LIHEAP; it is not automatically renewed. If the applicant or household member still meets the criteria for the categorically programs. How the Tribe ensures there is no difference in treatment of categorically eligible households from those not receiving other public assistance when determining eligibility & benefit amounts. The Ma-Chis Lower Creek Indian Tribe of Alabama will utilize its existing payment matrix, which takes into consideration household income, household size, and energy costs. They also need to be within the service area. The highest benefits will be allocated to households with the lowest income and the largest family size. Households may also be made eligible where one or more individuals receive TANF, Food Stamps / SNAP, SSI, or certain means-tested veteran's program payments. Their benefit level will be as shown on the income by household size matrix. However, if their household exceeds the income threshold (and they are still categorically eligible), they will still receive the minimum payment shown for that household size. Our existing LIHEAP service area is the following Alabama counties: Coffee, Crenshaw, Covington, Geneva, Houston, Henry, Barbour, Dale, Pike, Bullock, and Montgomery. Income inclusions. The Tribe considers the following in determining income eligibility: Wages, self-employment income, unemployment insurance, supplemental security income, general assistance benefits, TANF, one-time lump sum payments, alimony, child support, Veterans Administration, and income tax refunds. The Tribe does not include Medicare, SNAP, retirement, strike pay, WIC, savings accounts, WIOA, jury duty, interest, commissions, insurance payments, funds for the care of foster children, or mileage reimbursements. [The law requires that households applying for energy assistance meet income guidelines to be eligible for LIHEAP benefits. (Maximum and minimum income guidelines are listed in section 2605(b) (2) of the law.) The law does not define for you what items or sources of funds are to be counted as income, so it is important to define what your tribe will count as income. Calculation of countable income. Base income is usually defined as the gross countable income of all persons living in the household. Income is based on the past month's income. Documentation can be a pay stub for the month or bi-weekly (and adjusted for a month). Benefit Determination: The current income and benefit matrix are attached. It includes income, household size, type of service, and amount of (possible) benefit. Energy Suppliers - Vendor Information: The Tribe makes payments directly to heating, cooling, and crisis energy suppliers. Client Notification of Amount of Assistance Paid: Eligible households will receive a copy of the authorization form at the time of intake, as outlined in the operational policy. Eligible applicants are instructed at the time of intake to monitor their monthly billing to ensure they receive LIHEAP benefits. The authorization form will have the household name, current address, and current account number for crediting purposes. A statement of procedure for following up with energy suppliers in the event of non-payment will be included in the information packet at the time of intake. Assurance that the supplier will charge the client in the normal billing process the cost difference between the actual cost and the amount

of the LIHEAP payment. All area energy suppliers will have agreements with the Tribe. All energy suppliers will charge households in the normal billing process the difference between the actual cost of home energy and the amount of the LIHEAP payment. Eligible households will receive a copy of the authorization form at the time of intake, as outlined in the operational policy. Eligible applicants are instructed at the time of intake to monitor their monthly billing to ensure they receive LIHEAP benefits. The authorization form will have the household name, current address, and current account number for crediting purposes. A statement of procedure for following up with energy suppliers in the event of non-payment will be included in the information packet at the time of intake. **DENIAL** The reasons for denial are as follows: 1. Failure to complete the application or supply the requested information 2. Falsify documentation. 3. Not a Ma-Chis Lower Creek Indian Tribe of Alabama Tribal Citizen 4. Over income 5. Obtain energy assistance from another agency. **APPEAL PROCESS** The Ma-Chis Lower Creek Indian Tribe of Alabama provides for a fair hearing to any household that is denied assistance, if the application is not denied or approved within the established timelines, or if the benefits are less than the household believes they should be. Clients are informed of their rights when they sign the application. The applicant has the right to file an appeal for a hearing before the Ethics Committee. The Ethics Committee consists of a 3 3-person panel that hears all complaints. If one is not satisfied with the Ethics Committee decision, one may appeal to Chief James Wright of the Ma-Chis Lower Creek Indian Tribe of Alabama. Then, you may file a complaint with the entire Tribal Council of the Ma-Chis Lower Creek Indian Tribe of Alabama, as well as with the Chief. This must be done in writing through the United States Registered mail within 14 business days of being denied. The address for the appeal is as follows: Ma-Chis Lower Creek Indian Tribe of Alabama, 64 Private Road 1312, Elba, Alabama 36323. This appeal may be for being denied, and/or delayed processing. Processing can only begin once all required information has been received and verifications have been completed. **Definitions:** **Administrative Cost** - The Tribe can allocate up to 20% of the first \$20,000 (or \$4,000) plus 10% of the remaining amount of funds payable to administration and planning. The Tribe has been applying (for simplicity, 5% of the full sum). The sum allocated for staffing is to be determined by the Tribe based on the geographic size of the area, the number to be served, the number of eligible households, the amount of funds available, and the complexity of the program. If a Tribe's allotment is small, it may decide that there are not enough funds to administer the program and pay adequate benefits. **Administrative and program operating costs**, excluding direct payment of benefits, encompass client intake, application processing, determining household eligibility, informing clients of their eligibility, making payments, collaborating with vendors, and maintaining records. Additional administrative tasks include preparing grant reports, attending fair hearings, working on the annual Tribal audit, monitoring program operations, preparing the annual application, and managing financial accounting and other costs associated with the Indirect Cost Rate Agreement negotiated with the federal government for all federal grant programs. **Alien** - Any person who is not a citizen or native of the United States. **Appeal** - provides for a fair hearing to any household that is denied assistance, if the application is not denied or approved within the established timelines, or if the benefits are less than the household believes they should be. **Boarder** - A person who lives in a household and pays a set amount for room and meals. **Contagious Property** - Real property with boundaries that touch the home site property, disregarding the presence of streets, roads, rivers, or streams. **Crisis** - This occurs when a household faces a sudden or unexpected event beyond its control, resulting in an inability to pay household heating costs. The resolution of the Crisis is to be done within 48 hours. Below are some examples: *Medical conditions *Sudden job loss or other benefits, income *Heating equipment malfunction *Domestic violence *Shut off notice. **Denial** - Decline the application due to failure to submit all required documentation, over income, having obtained services from another agency, or not being a tribal citizen. **Elderly** - A person aged 60 or over. **Eligible Alien** - A person who is not a United States citizen but who meets the alien status requirements in EP-175. He is included as an eligible household member with energy needs. **Energy Burden/Expense** - The percentage of a household's income that is used to pay for all home energy costs and needs. Expenditures occur when a check is cut for payment of the service agreed to in the purchase order, but for the actual cost. **Food and Nutrition Services** —a federal program that provides monthly benefits to help low-income households purchase the food they need for good health. **Green Card** - A slang term describing the Alien Registration Receipt Card (Form I-151 or Form I-551). Most versions of these forms are not green in color. **Homeless** - An individual who lacks a permanent or fixed residence. **Homesite** - Principal residence of applicant/recipient or energy household member. **Illegal Alien** - A person who (a) entered the United States without approval by the Immigration and Naturalization Service (INS) or (b) who, after entering legally, remained in the United States past the time limit granted by INS without authorization. **Income** -

The Tribe considers all applicable income sources and their relationship to the household's gross income and income eligibility. Life-threatening Crisis - This exists when a household member's health and/or well-being would likely be endangered if assistance is not provided, such as in extreme cold or a fuel supply shortage. Resolving the life-threatening crisis is to be done within 18 hours. LIEAP (LOW INCOME ENERGY ASSISTANCE PROGRAM) - LIEAP provides for a one-time vendor payment annually to help eligible families pay their heating bills. Lump Sum - Money received with no anticipated recurrence. Medical Assistance (MEDICAID, MA) - A program to assist eligible aged, disabled, blind individuals, pregnant women, families, and/or children with the cost of medical care under Title XIX of the Social Security Act. Medicare-A is a program of health insurance for aged and disabled individuals who meet the program's eligibility requirements under Title XVIII of the Social Security Act. Migrant Farm Worker- A person who moves with the migrant stream to follow seasonal farm work employment and does not return to their permanent home each night. Obligation - An obligation occurs when funds are encumbered (i.e., through a purchase order or for the program's use). Project Share-Charitable donations, Private Living Arrangement- Housing owned by an individual or private company. Public Housing - Housing owned by the government. This can be apartments or houses. Renter- Any individual who pays rent for separate living quarters. Energy costs may be included in the rent or may be paid separately. Roomer - A person who lives in a house and pays a set amount for a room only. SERVICE Provider- A vendor that provides a heating or cooling source to Energy Program applicants. Supplemental Security Income (SSI) - A cash payment program administered by the Social Security Administration for low-income aged, blind, or disabled persons. Subsidized Housing - Any housing unit (household) that receives a federal subsidy to assist with utility bills. Temporary Assistance to Needy Families (TANF)- TANF is an assistance program which provides a money payment and medical assistance to certain relatives and children when the children have been deprived of parental support and care due to the death, physical or mental incapacity, continued absence of either parent from the home, or unemployment of one or both parents. Temporary Resident Status-- One-year period for which an alien has lawfully been granted the privilege of residing in the United States. The temporary status may be removed after one year, depending on whether the Immigration Office rules favorably or unfavorably on granting permanent resident status to the alien. Tribal Citizen- A person who belongs to the Ma-Chis Lower Creek Indian Tribe of Alabama. Tribal Identification Card - A card that displays the name of the Tribal citizen and their roll number. Tribe- Ma-Chis Lower Creek Indian Tribe of Alabama Vulnerable - A household is said to be vulnerable if it is subject to the rising cost of heating and has a heat source. Fully Vulnerable Household - A vulnerable household lives in a private living arrangement, is subject to the rising cost of heating, and has a heat source. Also includes households living in public housing where utilities for heat are billed separately from the rent or where utilities for heat are included in the rent, and the household has paid an excess in utilities for heat in the last 12 months at the current address. NOT Vulnerable Household - A household that is not subject to the cost of heating. Individuals who reside in an institution are not considered vulnerable. INTERNAL CONTROLS The basic purpose of Internal Control is to promote the efficient operation of this organization. The system of Internal Control will consist of measures employed by MCLCITA to (1) safeguard assets from waste, fraud, and inefficient use; (2) promote accuracy and reliability in the accounting records; (3) encourage and measure compliance with company policies, and (4) evaluate the efficiency of operations. Internal Control consists of all measures taken to provide management with assurance that everything in the organization is functioning properly. CASH RECEIPTS AND DISBURSEMENTS Control objectives: To maintain control over all cash and checks received and to ensure that all cash receipts and disbursements are processed with adequate documentation and authorization. Procedures: 1. Banking Arrangements a. The Board of Directors will authorize those individuals to act as signatories. b. One handwritten or facsimile signature is sufficient on all checks less than \$1,000. Two signatures are required on all checks \$1,000 or greater. b. One handwritten or facsimile signature is sufficient on all checks less than \$1,000. Two signatures are required on all checks \$1,000 or greater. c. Any check made payable to an authorized signatory must be signed by a signatory other than the payee. d. Authorized check signers are not permitted to delegate this authority. e. Banks must be notified immediately when an authorized check signer leaves the organization's employment. f. All check signers must be bonded. 2. Bank Transfers a. Only authorized check signers may do transfers between bank accounts. 3. Cash Receipts a. The person opening mail must not be the person responsible for maintaining accounts receivable or other financial records. b. All incoming checks or money orders must be restrictively endorsed immediately upon receipt. c. All checks and currency should be deposited as soon as reasonably possible. Checks and currency that are not immediately deposited must be placed in a locked safe.

d. All cash receipts must be recorded as of the date checks or currency are received 4. Cash Disbursements: a. All bank accounts must be recorded in the general ledger accounts. b. All disbursements from bank accounts must be made on prenumbered checks. Copies and documentation must be kept for all voided or canceled checks. d. All checks presented for manual signature must be accompanied by supporting documents. e. Blank checks must never be signed. f. All unused checks must be stored in a locked file at the close of each day. 5. Reconciliation of Bank Accounts a. All bank accounts must be reconciled monthly by the bookkeeper and reviewed by the Executive Director, no later than fifteen business days after receipt of the bank statement. b. A copy of the bank statements and reconciliations will be presented to the Treasurer within 30 days of receipt of the statement. 6. Petty Cash a. A petty cash drawer may be kept covering miscellaneous daily business expenses such as postage, etc. b. The petty cash drawer shall contain no more than \$50 in currency at any given time. c. The petty cash drawer shall be stored in a locked file at the close of each day. d. Each petty cash transaction shall include an attached description of the transaction, which shall include the amount taken, date, responsible person, and the purpose for which the funds are being used. A receipt must be attached to each description. e. Bookkeeper shall not replenish the petty cash drawer until it has been reconciled and entered into the general ledger. **MAINTENANCE OF RECORDS** Control Objectives: To assure that the organization is maintaining adequate records. Procedures: 1. All organization data processing records must be "backed-up" daily, with backup tapes being stored either in a fire-proof locked cabinet inaccessible by the bookkeeper or off-site by a person other than the bookkeeper. 2. Hard copies of all loan files shall be kept in a locked file cabinet. 3. Hard copies of supporting documentation and appropriate authorization for all general ledger entries. The bookkeeper shall keep entries. **PAYMENT OF EXPENSES** Control Objective: To ensure that expenses are properly authorized, calculated, and classified. Procedures: The bookkeeper shall be authorized to pay the organization's expenses during normal operations. In the bookkeeper's absence, the Executive Director will pay such expenses. 1. A check request voucher must accompany all invoices presented for payment. 2. All check request vouchers must be signed by the individual making the request and by the Executive Director. 3. All check request vouchers should include the date of activity and the general ledger account and class to which the payment should be applied. 4. Original invoices should be attached to check requests whenever possible. All invoices that are not originals must be verified before payment is made. 5. A detailed expense report must accompany any request for reimbursement. 6. Payments are made to the vendor within three (3) business days of approval of the application, except for (a) crisis 48-hour life, (b) life and death crisis 18 hours 7. The payments are noted as follows, including the fiscal year (October 1 to September 30): A. Crisis 1. Heating 2. Cooling 3. Year-Round B. Heating 10-01st through March 15. C. Cooling June 1 through September 30. D. Weatherization year-round. E. Administrative-postage year-round. **PROCESS** A. Applications are taken 1. Processed for Crisis, and if a crisis is determined to be life-threatening or immediate action is required, 2. All information is verified, and vendors are notified of the payment amount. 3. Upon approval of the application, a payment request is made to Payment Management Systems 4. Money is deposited directly into the account. Checks are written and mailed to the vendors. 6. The clients are notified of the amount of the check and the check number. 7. 30 to 35 days after the check is issued, the client is contacted regarding the credit to the energy account. **PAYROLL PROCESSING/PERSONNEL RECORDS** Control Objective: To ensure that all employees receive proper compensation and all adjustments have been duly authorized. Procedures: The bookkeeper shall maintain personnel files and records. The Bookkeeper shall be responsible for maintaining accurate and up-to-date records, ensuring compliance with governmental regulations and standards, adequately safeguarding all personnel records, and restricting access to authorized individuals. 1. Concerning payroll disbursements, no cash payments shall be permitted. 2. No payroll disbursements shall be made without the approval of the Executive Director. 3. Timely remittance of payroll taxes shall be the responsibility of the bookkeeper. The Executive Director shall approve it. 4. All changes to employees' compensation must be evidenced by a memo, a copy of a performance appraisal, minutes, etc. 5. All personnel files shall be kept in a locked file cabinet. 6. Access to personnel files shall be limited to the bookkeeper and Executive Director unless otherwise authorized by the Executive Director. The Executive Director's file shall be made available to the Board of Directors upon request. **PROPERTY AND EQUIPMENT (INCLUDING FURNITURE)** Control Objective: To maintain control at all points in the acquisition and recording of capital expenditures and to safeguard all property and equipment. Procedures: 1. The Executive Director must approve the purchase of all assets. 2. The acquisition or disposal of all assets should be duly recorded in appropriate detail records. An item shall be classified as an asset if it lasts more than a year and costs \$500 or more. 3. All transactions should be properly accumulated and categorized in the

accounts. 4. There should be physical safeguards over property and equipment. 5. Subsidiary records should be maintained for individual assets by the Office Manager. These records should include a. A complete description. b. Type of equipment. c. Date of acquisition. d. Purchase price, cost of installation, and any other element of capitalized cost. e. Estimated useful life, depreciation method, and rate. 6. Subsidiary records shall be reconciled to the general ledger at least quarterly. 7. Fully depreciated assets and corresponding depreciation reserves shall continue to be carried in the general ledger. 8. Fixed assets shall not be moved, loaned, or otherwise disposed of without written authorization from the Executive Director. 9. A complete inventory of fixed assets shall be taken at least once every year. MLCITA will use the most current HHS poverty guidelines when assessing income eligibility. The current guidelines are published in the Federal Register and are available on the HHS website www.hhs.gov. The income of all members of each family unit must be included in determining the income eligibility. A family unit may be either: (1) related individuals; or (2) an unrelated individual. The term "related individuals" means two or more persons related by birth, marriage, and/or adoption who reside together. The term "unrelated individual" means an individual who is not an inmate of an institution: (1) who resides alone or (2) who lives with one or more persons who are not related to them by birth, marriage, and/or adoption. Each person 18 and older must provide proof of income, regardless of tribal status. Income includes total annual cash receipts before taxes from all sources, with the exceptions noted below. Specifically, income includes: • Wages and salaries before any deductions. • Net receipts from nonfarm self-employment (receipts from a person's own unincorporated business, professional enterprise, or partnership, after deductions for business expenses). • Net receipts from farm self-employment (receipts from a farm that one operates as an owner, renter, or sharecropper, after deductions for farm operating expenses). • Regular payments from Social Security, railroad retirement, unemployment compensation, strike benefits from union funds, workers' compensation, veterans' payments, and public assistance (including Temporary Assistance for Needy Families, Supplemental Security Income, and nonfederal-funded General Assistance or General Relief money payments), and training stipends. • Alimony, child s

Expenditures

Expenditures occur when a check is cut for payment of the service agreed to in the purchase order, but for the actual cost. Food and Nutrition Services —a federal program that provides monthly benefits to help low-income households purchase the food they need for good health. Green Card - A slang term describing the Alien Registration Receipt Card (Form I-151 or Form I-551). Most versions of these forms are not green in color. Homeless - An individual who lacks a permanent or fixed residence. Homesite-- Principal residence of applicant/recipient or energy household member. Illegal Alien - A person who (a) entered the United States without approval by the Immigration and Naturalization Service (INS) or (b) who, after entering legally, remained in the United States past the time limit granted by INS without authorization. Income - The Tribe considers all applicable income sources and their relationship to the household's gross income and income eligibility. 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One handwritten or facsimile signature is sufficient on all checks less than \$1,000. Two signatures are required on all checks \$1,000 or greater. c. Any check made payable to an authorized signatory must be signed by a signatory other than the payee. d. Authorized check signers are not permitted to delegate this authority. e. Banks must be notified immediately when an

authorized check signer leaves the organization's employment. f. All check signers must be bonded. 2. Bank Transfers a. Only authorized check signers may do transfers between bank accounts. 3. Cash Receipts a. The person opening mail must not be the person responsible for maintaining accounts receivable or other financial records. b. All incoming checks or money orders must be restrictively endorsed immediately upon receipt. c. All checks and currency should be deposited as soon as reasonably possible. Checks and currency that are not immediately deposited must be placed in a locked safe. d. All cash receipts must be recorded as of the date checks or currency are received 4. Cash Disbursements: a. All bank accounts must be recorded in the general ledger accounts. b. All disbursements from bank accounts must be made on prenumbered checks. Copies and documentation must be kept for all voided or canceled checks. d. All checks presented for manual signature must be accompanied by supporting documents. e. Blank checks must never be signed. f. All unused checks must be stored in a locked file at the close of each day. 5. Reconciliation of Bank Accounts a. All bank accounts must be reconciled monthly by the bookkeeper and reviewed by the Executive Director, no later than fifteen business days after receipt of the bank statement. b. A copy of the bank statements and reconciliations will be presented to the Treasurer within 30 days of receipt of the statement. 6. Petty Cash a. A petty cash drawer may be kept covering miscellaneous daily business expenses such as postage, etc. b. The petty cash drawer shall contain no more than \$50 in currency at any given time. c. The petty cash drawer shall be stored in a locked file at the close of each day. d. Each petty cash transaction shall include an attached description of the transaction, which shall include the amount taken, date, responsible person, and the purpose for which the funds are being used. A receipt must be attached to each description. e. Bookkeeper shall not replenish the petty cash drawer until it has been reconciled and entered into the general ledger.

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Processed for Crisis, and if a crisis is determined to be life-threatening or immediate action is required, 2. All information is verified, and vendors are notified of the payment amount. 3. Upon approval of the application, a payment request is made to Payment Management Systems 4. Money is deposited directly into the account. Checks are written and mailed to the vendors. 6. The clients are notified of the amount of the check and the check number. 7. 30 to 35 days after the check is issued, the client is contacted regarding the credit to the energy account. **PAYROLL PROCESSING/PERSONNEL RECORDS** Control Objective: To ensure that all employees receive proper compensation and all adjustments have been duly authorized. Procedures: The bookkeeper shall maintain personnel files and records. The Bookkeeper shall be responsible for maintaining accurate and up-to-date records, ensuring compliance with governmental regulations and standards, adequately safeguarding all personnel records, and restricting access to authorized individuals. 1. Concerning payroll disbursements, no cash payments shall be permitted. 2. No payroll disbursements shall be made without the approval of the Executive Director. 3. Timely remittance of payroll taxes shall be the responsibility of the bookkeeper. The Executive Director shall approve it. 4. All changes to employees' compensation must be evidenced by a memo, a copy of a performance appraisal, minutes, etc. 5. All personnel files shall be kept in a locked file cabinet. 6. Access to personnel files shall be limited to the bookkeeper and Executive Director unless otherwise authorized by the Executive Director. The Executive Director's file shall be made available to the Board of Directors upon request. **PROPERTY AND EQUIPMENT (INCLUDING FURNITURE)** Control Objective: To maintain control at all points in the acquisition and recording of capital expenditures and to safeguard all property and equipment. Procedures: 1. The Executive Director must approve the purchase of all assets. 2. The acquisition or disposal of all assets should be duly recorded in appropriate detail records. An item shall be classified as an asset if it lasts more than a year and costs \$500 or more. 3. All transactions should be properly accumulated and categorized in the accounts. 4. There should be physical safeguards over property and equipment. 5. Subsidiary records should be maintained for individual assets by the Office Manager. These records should include a. A complete description. b. Type of equipment. c. Date of acquisition. d. Purchase price, cost of installation, and any other element of capitalized cost. e. Estimated useful life, depreciation method, and rate. 6. Subsidiary records shall be reconciled to the general ledger at least quarterly. 7. Fully depreciated assets and corresponding depreciation reserves shall continue to be carried in the general ledger. 8. Fixed assets shall not be moved, loaned, or otherwise disposed of without written authorization from the Executive Director. 9. A complete inventory of fixed assets shall be taken at least once every year. MLCITA will use the most current HHS poverty guidelines when assessing income eligibility. The current guidelines are published in the Federal Register and are available on the HHS website www.hhs.gov. The income of all members of each family unit must be included in determining the income eligibility. A family unit may be either: (1) related individuals; or (2) an unrelated individual. The term "related individuals" means two or more persons related by birth, marriage, and/or adoption who reside together. The term "unrelated individual" means an individual who is not an inmate of an institution: (1) who resides alone or (2) who lives with one or more persons who are not related to them by birth, marriage, and/or adoption. Each person 18 and older must provide proof of income, regardless of tribal status. Income includes total annual cash receipts before taxes from all sources, with the exceptions noted below. Specifically, income includes: • Wages and salaries before any deductions. • Net receipts from nonfarm self-employment (receipts from a person's own unincorporated business, professional enterprise, or partnership, after deductions for business expenses). • Net receipts from farm self-employment (receipts from a farm that one operates as an owner, renter, or sharecropper, after deductions for farm operating expenses). • Regular payments from Social Security, railroad retirement, unemployment compensation, strike benefits from union funds, workers' compensation, veterans' payments, and public assistance (including Temporary Assistance for Needy Families, Supplemental Security Income, and nonfederal-funded General Assistance or General Relief money payments), and training stipends. • Alimony, child support.

Expenditure timeframe

"expenditure timeframe" refers to the specific period during which LIHEAP funds are planned to be used for various program components. This timeframe aligns with the federal fiscal year and is crucial for budgeting, program implementation, and compliance. Three days after the draw down is made the checks are issued and mailed or delivered in person

Administrative costs

stamps, envelopes, copying paper

Audit Process

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

Yes No

10.2a - if yes, describe your auditor selection process.

10.3. Describe any audit findings of the grant recipient (i.e. State/Tribe/Territory) rising to the level of material weakness or reportable condition cited in the single audits, inspector general reviews, or other government agency reviews 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 Grant recipient as part of compliance process.
- Grant recipient conducts fiscal and program monitoring of local agencies/district offices
- Local agencies and district offices are required to have an annual audit in compliance with Single Audit Act and OMB Circular A-133

Compliance Monitoring

10.5. Describe your monitoring process for compliance at each level below. Check all that apply.

Grant recipients have a policy in place for appropriate separation of duties and internal controls.

- Internal program review
- Departmental oversight
- Secondary review of invoices and payments
- Other program review mechanisms are in place. Describe:

The initial reviews are conducted upon completion of the application and every six months thereafter. The applications are checked for accuracy, completeness, and whether the client account was credited. Other agencies are provided with a list of clients served by the tribe. The staff reviews all applications for completeness. In March and April, the heating, crisis, and weatherization programs are reviewed. Then in September

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:

The initial reviews are conducted upon completion of the application and every six months thereafter. The applications are checked for accuracy, completeness, and whether the client account was credited. Other agencies are provided with a list of clients served by the tribe. The staff reviews all applications for completeness. In March and April, the heating, crisis, and weatherization programs are reviewed. Then in September

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

N/A

10.7. Describe how you select local agencies for monitoring reviews. Attach a risk assessment if subrecipients are utilized.

Site Visits:

N/A

Desk Reviews:

N/A

10.8. How often is each local agency monitored? *Please attach a monitoring schedule if one has been developed.*
Biannually

10.9. How many local agencies are currently on corrective action plans? 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
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Section 11: Timely and Meaningful Public Participation, 2605(b)(12), 2605(C)(2)

11.1 How did you obtain input from the public in the development of your LIHEAP plan? Select all that apply.

Note: Tribes do not need to hold a public hearing but must ensure participation through other means.

- 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:

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

11.2 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 | 06/21/2025 | General Tribal meeting see attached minutes, Tribal Office 2950 County Road 377, Elba, Alabama 36323 |
| 2 | 06/22/2025 | Tribal Council meeting see attached minutes, Tribal Office 2950 County Road 377, Elba, Alabama 36323 |
| 3 | 08/10/2025 | Tribal Council meeting see attached minutes, Tribal Office 2950 County Road 377, Elba, Alabama 36323 |
| 4 | 08/16/2025 | General Tribal meeting see attached minutes, Tribal Office 2950 County Road 377, Elba, Alabama 36323 |
| 5 | | |

11.3. How many parties commented on your plan at the hearing(s)? 5

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

Change from 150% HHS poverty guideline to 60% State Median Income, Worried that people are not receiving needed services due to the income restrictions.

11.5 What changes did you make to your LIHEAP plan as a result of public participation and solicitation of input?

Changed to 60% State Median Income,

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

Section 12 - Fair Hearings,2605(b)(13) - Assurance 13

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Section 12: Fair Hearings, 2605(b)(13) - Assurance 13

12.1 How many fair hearings did the Grant recipient 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 and/or not acted upon in a timely manner.

DENIALThe reasons for denial are as follows:1. Failure to complete the application or supply requested information2. Falsify documentation.3. Not a Ma-Chis Lower Creek Indian Tribe of Alabama Tribal Citizen4. Over income5. Obtain energy assistance from another agencyAPPEAL PROCESSThe Ma-Chis Lower Creek Indian Tribe of Alabama provides for a fair hearing to any household that is denied assistance, if the application is not denied or approved within the established timelines, or if the benefits are less than the household believes it should be.Clients are informed of their rights when the sign the application.The applicant has the right to file an appeal for a hearing before the Ethics Committee. The Ethics Committee consist of a 3- person panel that hears all complaints. If not satisfied with the Ethics Committee decision may appeal to Chief James Wright of the Ma-Chis Lower Creek Indian Tribe of Alabama, if not satisfied with Chief James Wright's decision, and then you may file a complaint with the entire Tribal Council of the Ma-Chis Lower Creek Indian Tribe of Alabama Tribal Council and Chief. This must be done in writing through the United States Registered mail within 14 business days of being denied.The address for the appeal is as follows: Ma-Chis Lower Creek Indian Tribe of Alabama,2950 County road 377, Elba, Alabama 36323. This appeal may be for being denied, and/or delayed processing. Processing can only begin once all required information received, and verifications have been completed.

12.5 When and how are applicants informed of these rights?

At the time of the application a copy of the procedure is given to the client.The Ma-Chis Lower Creek Indian Tribe of Alabama provides for a fair hearing to any household that is denied assistance, if the application is not denied or approved within the established timelines, or if the benefits are less than the household believes it should be.Clients are informed of their rights when the sign the application.The applicant has the right to file an appeal for a hearing before the Ethics Committee. The Ethics Committee consist of a 3- person panel that hears all complaints. If not satisfied with the Ethics Committee decision may appeal to Chief James Wright of the Ma-Chis Lower Creek Indian Tribe of Alabama, if not satisfied with Chief James Wright's decision, and then you may file a complaint with the entire Tribal Council of the Ma-Chis Lower Creek Indian Tribe of Alabama Tribal Council and Chief. This must be done in writing through the United States Registered mail within 14 business days of being denied.

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

Section 13 - Reduction of home energy needs,2605(b)(16) - Assurance 16

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Section 13: Reduction of home energy needs, 2605(b)(16) - Assurance 16

13.1 Describe how you use LIHEAP funds to provide services that encourage and enable households to reduce their home energy needs and thereby the need for energy assistance?

Provide free literature regarding energy saving techniques

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

All of this service is in-kind.

13.3 Describe the impact of such activities on the number of households served in the previous federal Fiscal Year.

The energy saving was provided to 400 people with 200 being at or below poverty. This service is provided as part of tribal meeting, emails which includes various health topics, safety issues such as food, medication recalls, reducing the cost of energy burdens

13.4 Describe the level of direct benefits provided to those households in the previous federal Fiscal Year.

Referred 3 people to the Local Community Action Agency for assistance in home reparts due to cost our LIHEAP grant could not cover. The Community Action Agency did a a home inspection and never made any repairs, The second home gave light bulbs to the household, The third household never responded to their request.

13.5 How many households received these services? 3

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

Section 14 - Leveraging Incentive Program ,2607A

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Section 14:Leveraging Incentive Program, 2607(A)

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

Yes No

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

There was an individual who donated money at Christmas to assist elderly or homebound with their heating. Then there was a family member died and the surviving spouse was having an extremely hard time. Another tribal member provided \$500.00 to assist on her electric bill.

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. § 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 | Heating | Personal | Assisted with the electric bill of the elderly, a cancer patient, and a widow. |

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
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Section 15: Training

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

a. Grant recipient Staff:

Formal training provided virtually, on-site, and/or formal training conference

How often?

Annually

Biannually

As needed

Other, describe:

Employees are provided with policy manual

Other, describe:

b. Local Agencies:

Formal training provided virtually, on-site, and/or formal training conference

How often?

Annually

Biannually

As needed

Other, describe:

On-site training

How often?

Annually

Biannually

As needed

Other, describe:

Employees are provided with policy manual

Other, describe:

c. Vendors

Formal training conference

How often?

Annually

Biannually

As needed

Other, describe:

Policies communicated through vendor agreements

Policies are outlined in a vendor manual

Other, describe:

15.2 Does your training program address fraud reporting and prevention?

Yes
 No

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

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

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
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Section 16: Performance Goals and Measures, 2605(b) - Required for States Only

16.1 Describe your progress toward meeting the data collection and reporting requirements of the four required LIHEAP (Benefit Targeting Index, Burden Reduction Targeting Index, Restoration of Home Energy Service, and Prevention of Loss of Home Energy Service). Include timeframes and plans for meeting these requirements and what you believe will be accomplished in the coming federal fiscal year.

Not required for tribes.

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

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

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

17.1 Fraud Reporting Mechanisms

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

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

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

- Printed outreach materials
- Posted in local administering agencies offices.
- Addressed on LIHEAP application
- Website
- Other - Describe:

17.2. Identification Documentation Requirements

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

| Type of Identification Collected | Collected from Whom? | | | |
|--|-------------------------------------|-------------------------------------|-------------------------------------|--------------------------------------|
| | Applicant Only | | All Adults in Household | |
| | Required | Requested | Required | Requested |
| Social Security Card is photocopied and retained | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |
| Social Security Number (Without actual Card) | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| Government-issued identification card (i.e.: driver's license, state ID, Tribal ID, passport, etc.) | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |
| | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Other | Applicant Only Required | Applicant Only Requested | All Adults in Household Required | All Adults in Household Requested |
| 1 | | | | |

| | | | | | | | |
|--|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 17.3. Citizenship/Legal Residency Verification | | | | | | | |
| What are your procedures for ensuring LIHEAP recipients are U.S. citizens or qualified non-citizens who are eligible to receive LIHEAP benefits? Select all that apply. | | | | | | | |
| <input type="checkbox"/> Clients sign an attestation of citizenship or U.S. Citizen or Qualified Non-Citizen <input checked="" type="checkbox"/> Client's submission of certain Social Security Administration cards is accepted as proof of U.S. Citizen or Qualified Non-Citizen. <input checked="" type="checkbox"/> Non-Citizens must provide documentation of immigration status <input type="checkbox"/> Citizens must provide a copy of their birth certificate, naturalization papers, or passport <input type="checkbox"/> Non-Citizens are verified through the SAVE system <input checked="" type="checkbox"/> Tribal members are verified through Tribal enrollment records/Tribal ID card <input type="checkbox"/> Other - Describe: | | | | | | | |
| 17.4. Income Verification | | | | | | | |
| What methods does your agency utilize to verify household income? Select all that apply. | | | | | | | |
| <input checked="" type="checkbox"/> Require documentation of income for all adult household members <input checked="" type="checkbox"/> Pay stubs <input checked="" type="checkbox"/> Social Security award letters <input type="checkbox"/> Bank statements <input checked="" type="checkbox"/> Tax statements <input checked="" type="checkbox"/> Zero-income statements <input checked="" type="checkbox"/> Unemployment Insurance letters <input type="checkbox"/> Other - Describe: <input checked="" type="checkbox"/> Computer data matches: <input checked="" type="checkbox"/> Income information matched against state computer system (e.g., SNAP, TANF) <input checked="" type="checkbox"/> Proof of unemployment benefits verified with state Department of Labor <input checked="" type="checkbox"/> Social Security income verified with SSA <input type="checkbox"/> Utilize state directory of new hires <input type="checkbox"/> Other - Describe: | | | | | | | |
| b. Describe any exceptions to the above policies. | | | | | | | |
| 17.5 Identification Verification | | | | | | | |
| Describe what methods are used to verify the authenticity of identification documents provided by clients or household members. Select all that apply | | | | | | | |
| <input type="checkbox"/> Verify SSNs with Social Security Administration <input checked="" type="checkbox"/> Match SSNs with death records from Social Security Administration or state agency <input checked="" type="checkbox"/> Match SSNs with state eligibility/case management system (e.g., SNAP, TANF) <input checked="" type="checkbox"/> Match with state Department of Labor system <input type="checkbox"/> Match with state and/or federal corrections system <input checked="" type="checkbox"/> Match with state child support system <input type="checkbox"/> Verification using private software (e.g., The Work Number) <input checked="" type="checkbox"/> In-person certification by staff (for tribal Grant recipients only) <input checked="" type="checkbox"/> Match SSN/Tribal ID number with tribal database or enrollment records (for tribal Grant recipients only) <input checked="" type="checkbox"/> Other - Describe: Local county and city correctional facilities. Verify if an applicant or household member is in their facility. | | | | | | | |
| 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.

- Policy in place prohibiting release of information without written consent
- Grant recipient LIHEAP database includes privacy/confidentiality safeguards
- Employee training on confidentiality for:
 - Grant recipient employees
 - Local agencies/district offices
- Employees must sign confidentiality agreement
- Grant recipient employees
- Local agencies/district offices
- Physical files are stored in a secure location
- Electronic files are protected 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
- Grant recipient and/or local agencies/district offices perform physical monitoring of vendors
- Other - Describe and note any exceptions to policies above:

All vendors are verified with the Public Service Commissioner, Secretary of State, for propane gas verified with the Alabama Propane Gas Association.

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.

- Applicants required to submit proof of physical residency
- Applicants must submit current utility bill
- Data exchange with utilities that verifies:
 - Account ownership
 - Consumption
 - Balances
 - Payment history
 - Account is properly credited with benefit
- Other - Describe:
- Centralized computer system/database tracks payments to all utilities
- Centralized computer system automatically generates benefit level
- Separation of duties between intake and payment approval
- Payments coordinated among other energy assistance programs to avoid duplication of payments
- Payments to utilities and invoices from utilities are reviewed for accuracy
- Computer databases are periodically reviewed to verify accuracy and timeliness of payments made to utilities
- Direct payment to households are made in limited cases only
- Procedures are in place to require prompt refunds from utilities in cases of account closure
- Vendor agreements specify requirements selected above, and provide enforcement mechanism
- 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.

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

17.10. Investigations and Prosecutions

Describe the Grant recipients procedures for investigating and prosecuting reports of fraud, and any sanctions placed on clients, staff, or vendors found to have committed fraud. Select all that apply.

- Refer to state Inspector General
- Refer to local prosecutor or state Attorney General
- Refer to US DHHS Inspector General (including referral to OIG hotline)
- Local agencies/district offices or Grant recipient conduct investigation of fraud complaints from public
- Grant recipient attempts collection of improper payments. If so, describe the recoupment process
- Clients found to have committed fraud are banned from LIHEAP assistance. For how long is a household banned? up to 5 years
- Contracts with local agencies require that employees found to have committed fraud are reprimanded and/or terminated
- Vendors found to have committed fraud may no longer participate in LIHEAP
- Other - Describe:

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

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 and 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

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 Grant recipient 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 Grant recipient 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 Grant recipients other than individuals, Alternate I applies.
4. For Grant recipients who are individuals, Alternate II applies.
5. Workplaces under grants, for Grant recipients other than individuals, need not be identified on the certification. If known, they may be identified in the grant application. If the Grant recipient does not identify the workplaces at the time of application, or upon award, if there is no application, the Grant recipient 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 Grant recipients 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 Grant recipient 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. Grant recipients 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 Grant recipient 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 Grant recipients payroll. This definition does not include workers not on the payroll of the Grant recipient (e.g., volunteers, even if used to meet a matching requirement; consultants or independent contractors not on the Grant recipients payroll; or employees of subrecipients or subcontractors in covered workplaces).

Certification Regarding Drug-Free Workplace Requirements

Alternate I. (Grant recipients Other Than Individuals)

The Grant recipient 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 Grant recipients 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 Grant recipients 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 Grant recipient 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 (*That this must be physical address. No PO Boxes allowed.*)

2950 County Road 377

*** Address Line 1**

Address Line 2

Address Line 3

Elba
*** City**

AL
*** State**

36323
*** Zip Code**

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

Alternate II. (Grant recipients Who Are Individuals)

(a) The Grant recipient 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

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 Grant recipients 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 disbursal 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.



By checking this box, the prospective primary participant is agreeing to the Assurances set out above.

Plan Attachments

| PLAN ATTACHMENTS |
|--|
| The following documents must be attached to this application |
| <ul style="list-style-type: none">• Delegation Letter is required if someone other than the Governor or Chairman Certified this Report. |
| <ul style="list-style-type: none">• Heating component benefit matrix, if applicable |
| <ul style="list-style-type: none">• Cooling component benefit matrix, if applicable |
| <ul style="list-style-type: none">• Minutes, notes, or transcripts of public hearing(s). |
| <ul style="list-style-type: none">• Policy Manual. |
| <ul style="list-style-type: none">• Subrecipient Contract. |
| <ul style="list-style-type: none">• Model Plan Participation Notes for Tribes. |