

DETAILED MODEL PLAN (LIHEAP)

Program Name: Low Income Home Energy Assistance
Grantee Name: CITIZEN POTAWATOMI NATION
Report Name: DETAILED MODEL PLAN (LIHEAP)
Report Period: 10/01/2025 to 09/30/2026
Report Status: Submission Accepted by CO

Report Sections

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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) NMFYBB8HBGC1
		4b. Federal Award Identifier:	5. Date Received By State:
		6. State Application Identifier:	

7. APPLICANT INFORMATION

* a. Legal Name: Citizen Potawatomi Nation

* b. Address:

* Street 1:	1601 S. GORDON COOPER DRIVE	Street 2:	
* City:	SHAWNEE	County:	Pottawatomie
* State:	OK	Province:	
* Country:	United States	* Zip / Postal Code:	74801 -

c. Organizational Unit:

Department Name:	Division Name:
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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: Margaret	* Last Name: Zientek
Title: Director	Organizational Affiliation: Citizen Potawatomi Nation
* Telephone Number: (405) 878-3854	Fax Number 4052731752

* Email:
mzientek@potawatomi.org

* 8. TYPE OF APPLICANT:

I: Indian/Native American Tribal Government (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:

Citizen Potawatomi Nation Workforce & Social Services 477 Plan (includes LIHEAP)

11. AREAS AFFECTED BY FUNDING:

Counties of: Pottawatomie, Lincoln, Payne, Cleveland, Seminole, & Oklahoma

12. CONGRESSIONAL DISTRICTS OF APPLICANT:

05

13. FUNDING PERIOD:

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

b. Program is subject to E.O. 12372 but has not been selected by State for review.

c. Program is not covered by E.O. 12372.

***15. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?**

YES
 NO

If Yes, explain:

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)

****I Agree**

** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

17a. Typed or Printed Name and Title of Authorized Certifying Official
Margaret Zientek

17c. Telephone (area code, number and extension)
(405) 878-3854

17b. Signature of Authorized Certifying Official



17d. Email Address
mzientek@potawatomi.org

17e. Date Report Submitted (Month, Day, Year)

08/26/2025

Section 1 - Program Components

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

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	09/30/2026
<input checked="" type="checkbox"/>	Cooling assistance	05/01/2026	09/30/2026
<input checked="" type="checkbox"/>	Summer crisis assistance	05/01/2026	09/30/2026
<input checked="" type="checkbox"/>	Winter crisis assistance	10/01/2025	04/30/2026
<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

Weatherization assistance will be reviewed and authorized based on available funds. First priority is Heating and Crisis, followed by COOLING. Most weatherization should occur between June 1, 2026 and September 30, 2026.

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	25.00%	0.00%
Cooling assistance	25.00%	0.00%
Summer crisis assistance	10.00%	0.00%
Winter crisis assistance	10.00%	0.00%
Year-round crisis assistance	10.00%	0.00%
Weatherization assistance	15.00%	0.00%
Carryover to the following federal fiscal year	0.00%	0.00%
Administrative and planning costs	0.00%	0.00%
Services to reduce home energy needs including needs assessment (Assurance 16)	5.00%	0.00%
Used to develop and implement leveraging activities	0.00%	0.00%
TOTAL	100.00%	0.00%

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 checked="" type="checkbox"/>	Other (specify:) Year- Round Crisis

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 checked="" type="radio"/> Yes <input 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.

At least one person in the household received TANF, SSI, SNAP, or means-tested Veterans funding within the measurement period for the service requested. Income will still be gathered and measured against the allowable limits but categorical eligibility will override income limitations when applicable.

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

If Yes, explain:

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

Each adult applicant household member is required to provide documentation of income. A payment benefit matrix is used to calculate the benefits to be paid. Categorically eligible are measured against the same matrix.

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?

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 type="checkbox"/>	Gross Income
<input checked="" 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 type="checkbox"/>	Unemployment insurance
<input type="checkbox"/>	Strike Pay
<input type="checkbox"/>	Social Security Administration (SSA) benefits
	<input type="checkbox"/> Including MediCare deduction <input type="checkbox"/> Excluding MediCare deduction
<input 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 checked="" type="checkbox"/>	Rental income
<input type="checkbox"/>	Income from employment through Workforce Investment Act (WIA)
<input type="checkbox"/>	Income from work study programs
<input checked="" type="checkbox"/>	Alimony
<input type="checkbox"/>	Child support
<input type="checkbox"/>	Interest, dividends, or royalties
<input checked="" 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 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 checked="" 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 checked="" type="checkbox"/>	Online application that is also mobile friendly
<input type="checkbox"/>	Other, please describe by appointment, staff will arrange to go to homebound applicants, or meet in mutually agreed upon location. Outreach offices and efforts include satellite locations in all six counties.

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.

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.

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 checked="" type="checkbox"/>	Portal application
<input checked="" type="checkbox"/>	Other, please describe Most applications are by Portal. Documents may be faxed, emailed, mailed, or provided in person.

Hidden for Section 1

Section 2 - HEATING 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 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	1	State Median Income	60.00%
2	2	State Median Income	60.00%
3	3	State Median Income	60.00%
4	4	State Median Income	60.00%
5	5	State Median Income	60.00%
6	6	State Median Income	60.00%
7	7	State Median Income	60.00%
8	8	HHS Poverty Guidelines	150.00%
9	9	HHS Poverty Guidelines	150.00%
10	10	HHS Poverty Guidelines	150.00%
11	11	HHS Poverty Guidelines	150.00%
12	12	HHS Poverty Guidelines	150.00%

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:

If utility services are included in the rent, the renter must provide a lease agreement that details what is included in the rent.

Do you give priority in eligibility to:

Older Adults (60 years or older)? Yes No

If yes, describe:

Additional points are awarded in the benefits matrix for each elder in the household.

Individuals with a disability? Yes No

If yes, describe:

Additional points are awarded in the benefits matrix for each disabled person in the household.

Young children? Yes No

If yes, describe:

Additional points are awarded in the benefits matrix for each young child in the household.

Households with high energy burdens? Yes No

If yes, describe:

Additional points are awarded in the benefits matrix based on income ranges in the household. Lower incomes are assigned a higher point value. Higher income levels received a lower point value.

Other? Veterans

 Yes No
If yes, describe:

Additional points are awarded in the benefits matrix for each Veteran in the household.

Explanations of policies for each "yes" checked above:

Elders age 55 or older - provide documentation of date of birth; disabled - document with parking hang tag, doctor's note, financial disability award, and / or self id; Young Child ages 5 and under - documentation of the date of birth. Income range - Fuel Type, Size of the home - count number of rooms being used as bedrooms; Veterans or Active Military - documentation to support that status. Each are assigned a point value. The matrix uses a point system. 1 point equals \$5. Point values range from zero and up. One point per person, one point per each qualifying category per person and so on.

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.**

Outreach is provided with the intent of reaching targeted households. For Elder population: Community Health Representatives, Homemaker Services, Elder Housing residents, Elder Nutrition Program, Disabled services, etc. For minor children examples of that outreach include Women Infant & Childrens Program, Child Development Center families, families seeking Youth services such as Johnson O'Malley, Indian Child Welfare, Domestic Violence, Foster Care, Family Preservation, Tribal Transit, Tribal Court, Employee Payroll Notices, are just some of the ways that we use to try to reach eligible needy households. .

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

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

On the matrix, points are assigned at a higher rate for lowest income, and decreases in points assigned as the income incrementally increases. Family members receive 1 point per household member. Home energy burdens / need is also addressed through type of fuel and the number of bedrooms (size of the home); Special Conditions receive additional points per qualified category per occurrence - Elder, Disabled, Child Age 5 & Under; Veteran / Active Military, or crisis (cut off, notice of impending cut off with scheduled date)

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	\$100	Maximum Benefit	\$500

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

During winter season, we offer space heaters for supplemental heat source. In crisis situations, blankets may also be offered plus the location of a nearby warming station. In rare situations, a generator may be offered - VERY limited basis; In crisis situations when no other option is reasonably available, a short term hotel stay may be provided.

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

Section 3 - COOLING ASSISTANCE

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
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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	1	State Median Income	60.00%
2	2	State Median Income	60.00%
3	3	State Median Income	60.00%
4	4	State Median Income	60.00%
5	5	State Median Income	60.00%
6	6	State Median Income	60.00%
7	7	State Median Income	60.00%
8	8	HHS Poverty Guidelines	150.00%
9	9	HHS Poverty Guidelines	150.00%
10	10	HHS Poverty Guidelines	150.00%
11	11	HHS Poverty Guidelines	150.00%
12	12	HHS Poverty Guidelines	150.00%

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:

Must provide a rental agreement that indicates which utilities are included in the rent. Applicant name must be listed as one of the renters.

Do you give priority in eligibility to:

Older Adults (60 years or older)? Yes No

If yes, describe:

Elderly - Age 55 or older - must provide documentation of the date of birth. Points are assigned on the matrix with one point per occurrence in the household.

Individuals with a disability? Yes No

If yes, describe:

Disabled - must provide documentation of the disability which might include parking hang tag, documentation denoting disabled (medical assessment, federal, state, or military disability award, etc.). Points are assigned on the matrix with one point per occurrence in the household.

Young children? Yes No

If yes, describe:

Children Age 5 & Under: Must provide documentation of date of birth. Points are assigned on the matrix with one point per occurrence in

the household.

Households with high energy burdens?

Yes No

If yes, describe:

Points are assigned based on household 'included' income. Zero \$0 included income receive the maximum points, as income increases, the points awarded per level drops. Highest income households may receive zero points.

Other? Veterans / Active Military

Yes No

If yes, describe:

Veteran and / or Active Military: provide documentation regarding military service.

Explanations of policies for each "yes" checked above:

Elders 55 and older- Provide documentation of date of birth; Disabled- provide parking hang tag, document indicating disability determination (medical, federal, state, or Veterans); self id; Young Child AGe 5 or younger-Documentation required that indicates date of birth / age such as birth certificate, tribal id, shot record, etc; Income - provide documentation such as pay stub, retirement, award, bank statement or self certification; Fuel Type - bill or estimate; Size of home / # of bedrooms; Veterans or active military - documentation indicating military service; Number of people in the household - Points are assigned per category per occurrence;

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

Outreach targeted to reach vulnerable households. Elder - Housing residence, elder and disabled nutrition sites, Community Health Senior services etc; Service programs that might be providing services to Minor children such as Child Development Center; Pre-K; Schools; Indian Child Welfare, Adoption, Foster Care, Family Preservation, Court, Tribal Transit, Employee Payroll messages, these are all avenues we utilize to try to reach those most in need. Benefit amounts are adjusted by giving additional points per individual in the household that meet these categories: Elder, Disabled, Child 5 & Under, and Veteran/Active Military; Additional points are awarded to address high energy burden - lower income households are assigned more points; larger homes / more bedrooms are assigned more points; household members = 1 point per member.

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

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

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

In the matrix, points are assigned at a high rate for lowest income, and points decrease as income level increases. Family members receive 1 point per household member; Home energy burden / need is also addressed through type of fuel and number of bedrooms (size of home); special conditions receive additional points per qualified category per occurrence - Elder, Disabled, Child Age 5 & Under, Veteran /Active Military; or Crisis - Cut off or cut off has been scheduled.

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	\$100	Maximum Benefit	\$500
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3.7 Do you provide in-kind (e.g., fans, air conditioners) and/or other forms of benefits? Yes No

If yes, describe.

In the cooling season, we offer fans and window AC units. Units have 1 to 2 year warranties. We do not require the unit be returned at the end of the cooling season. However, if the unit has a 2 year warranty the household cannot receive a replacement unit until that warranty has expired or produce proof of dead unit. The household signs a hold harmless agreement. They are instructed that the unit may not be pawned or sold. Should this happen, tribal police will become involved and appropriate legal action taken and/or suspension of services may occur for up to a 2 year period. IF the unit is stolen, a police report may be provided to become eligible for replacement unit.

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

Section 4 - CRISIS ASSISTANCE

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Section 4: CRISIS ASSISTANCE

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

4.1 Designate the income eligibility threshold used for the crisis component

Add	Household size	Eligibility Guideline	Eligibility Threshold
1	1	State Median Income	60.00%
2	2	State Median Income	60.00%
3	3	State Median Income	60.00%
4	4	State Median Income	60.00%
5	5	State Median Income	60.00%
6	6	State Median Income	60.00%
7	7	State Median Income	60.00%
8	8	HHS Poverty Guidelines	150.00%
9	9	HHS Poverty Guidelines	150.00%
10	10	HHS Poverty Guidelines	150.00%
11	11	HHS Poverty Guidelines	150.00%
12	12	HHS Poverty Guidelines	150.00%

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.

Utility service company has notified of a pending disconnection or the household utility has been disconnected. For Propane - levels below 10% is considered a crisis during the winter heating season. Other determination of a crisis: IF the temperature cold index forecasts WINTER temperatures to be at or below freezing within the next 7 days, or in COOLING season if the temperature heat index forecasts for temperatures to reach or exceed 100 degrees or higher within the next 7 days; OR utility is medically documented as necessary for safe health purposes; OR rental agreement requires utilities be on in order to maintain retain or will face eviction for failing to maintain utilities.

4.3 What constitutes a life-threatening crisis?

IF ANY ONE of the following conditions are found to be present: STATE or TRIBAL declaration of disaster or medical condition of any one household member makes that utility a medical necessity- where the individual requiring the operation of a medican device would be in a life threatening situation without the utility.

Crisis Requirement, 2604(c)

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

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 checked="" type="checkbox"/>	<input checked="" 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?

Do you give priority in eligibility to:

Older Adults (60 years or older)?

Individuals with a disability?

Young Children?	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Households with high energy burdens?	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Other (Specify): Veterans/ Active Military	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
In Order to receive crisis assistance:			
Must the household have received a shut-off notice or have a near empty tank?	<input checked="" 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 type="checkbox"/>
Must the household have exhausted their regular heating benefit?	<input checked="" type="checkbox"/>	<input checked="" 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 type="checkbox"/>
Must heating/cooling be medically necessary?	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Must the household have non-working heating or cooling equipment?	<input type="checkbox"/>	<input type="checkbox"/>	<input 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>Matrix provides points for elders, disabled, young children, size of home, type of fuel, and / or veteran or active military status. To receive crisis assistance, households need to provide documentation regarding pending shutoff or they are already shut off, for propane a reading of under 10% or lower is considered a crisis. If service is medically necessary or life threatening condition exists without the utility, the household must provide appropriate documentation.</p>			
Determination of Benefits			
4.8 How do you handle crisis situations?			
<input type="checkbox"/>	Separate component		
<input 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 checked="" type="checkbox"/>	Other - Describe: <p>applications are worked in the order they are received. The applicant must self identify if they meet crisis or are approaching crisis status. The application will be moved forward in the order that admission staff processes it. Applications which lack required documents will delay the execution of providing benefit assistance. Staff will work directly with the applicant to help identify / locate / or provide the missing documents. HOWEVER, the applicant is responsible to provide in a timely manner. The online application process has a flag system to highlight if the applicant has indicated a crisis situation has arisen.</p>		
4.9 If you have a separate component, how do you determine crisis assistance benefits?			
<input checked="" type="checkbox"/>	Amount to resolve the crisis. \$0		
<input checked="" type="checkbox"/>	Other - Describe: <p>Amount to resolve the crisis or maximum amount allowed \$500.</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. <p>Applications are made available through an online portal process. Outreach efforts will include but not limited to meeting at a mutually accessible location of another service organization. Arrangements can be made to meet the individual. Staff carry a laptop computer and have internet access to assist. Should the crisis make this situation unsafe, the staff will work with the household to determine the safest option. Application documentation may be waived or given additional time to provide (later date to be determined) when the household can safely access the needed documents.</p>			
4.11 Do you provide individuals who are individuals with a disability the means to:			
Submit applications for crisis benefits without leaving their homes?			
<input checked="" type="radio"/> Yes <input type="radio"/> No			
If No, explain.			
Travel to the sites at which applications for crisis assistance are accepted?			

Yes No

If No, explain.

If you answered "No" to both options in question 4.11, please explain alternative means of intake to those who are homebound or physically disabled?

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

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

Winter Crisis \$500.00 maximum benefit

Summer Crisis \$500.00 maximum benefit

Year-round Crisis \$10,000.00 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

In winter months, we offer space heaters, blankets, etc. In summer months, we offer fans and window AC units SEE details in HEATING and COOLING responses.

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 checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Heating system replacement	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Cooling system repair	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Cooling system replacement	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Wood stove purchase	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Pellet stove purchase	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Solar panel(s)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Utility poles / gas line hook-ups	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Other (Specify): Propane tanks purchase and /or installation - any assistance is limited to the total CRISIS funds available. Unit repair or replacement maximum is increased to \$10,000	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" 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.

When extreme temperatures are experienced within the State, utility companies providing services will NOT disconnect the service until the extreme temperature has ended. For example, temperature with cold index at freezing 32 degree and below - utilities used for heat source do not disconnect the service for non-payment until the temperatures return to above freezing level for at least 24 hours. For cooling season utility companies within the state usually do not disconnect services where the daily temperature indexes are projected to be 100 degrees or higher. When the heat index drops below 100 degrees, the utility company will begin processing shut offs. This is honored by most municipalities within the service areas based on National Weather Service predictions.

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 a natural disaster is declared by the Tribe, State, or Nation, Liheap crisis funds may be used. These are cases where we may need to purchase a utility pole; a generator & fuel to operate the generator; or provide temporary shelter / residence such as a hotel room for a limited number of nights while the power is restored (maximum 7). If this is a FEMA declared disaster, the household will be required to apply for available FEMA funding.

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

Section 5 - WEATHERIZATION ASSISTANCE

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

August 1987, revised 05/92, 02/95, 03/96, 12/98, 11/01
OMB Clearance No.: 0970-013
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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	1	State Median Income	60.00%
2	2	State Median Income	60.00%
3	3	State Median Income	60.00%
4	4	State Median Income	60.00%
5	5	State Median Income	60.00%
6	6	State Median Income	60.00%
7	7	State Median Income	60.00%
8	8	HHS Poverty Guidelines	150.00%
9	9	HHS Poverty Guidelines	150.00%
10	10	HHS Poverty Guidelines	150.00%
11	11	HHS Poverty Guidelines	150.00%
12	12	HHS Poverty Guidelines	150.00%

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? Veteran / Active Military	<input checked="" type="radio"/> Yes <input type="radio"/> 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.	
<p>The Matrix awards additional points for each household member that is considered an Elder, Age 55 and older, disabled, Child AGE 5 and Under; To address household with high energy burden, the size of the house (count number of bedrooms), and the income level of the household are factored in the matrix in awarding points. Additionally, the Nation provides additional points to Veterans and Active Military per occurrence within a household.</p>	
Benefit Levels	
5.9 Do you have a maximum LIHEAP weatherization benefit/expenditure per household? <input checked="" type="radio"/> Yes <input type="radio"/> No	
5.9a If yes, what is the maximum? \$10,000	
5.10 Do you use an Average Cost per Unit (ACPU)? <input type="radio"/> Yes <input checked="" type="radio"/> 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 checked="" type="checkbox"/> Weatherization needs assessments/audits	<input checked="" type="checkbox"/> Energy related roof repair
<input checked="" type="checkbox"/> Caulking and insulation	<input checked="" type="checkbox"/> Major appliance repairs
<input checked="" type="checkbox"/> Storm windows	<input checked="" type="checkbox"/> Major appliance replacement
<input checked="" type="checkbox"/> Furnace/heating system modifications/repairs	<input checked="" type="checkbox"/> Windows/sliding glass doors
<input checked="" type="checkbox"/> Furnace replacement	<input checked="" type="checkbox"/> Doors
<input checked="" type="checkbox"/> Cooling system modifications/repairs	<input checked="" type="checkbox"/> Water Heater
<input checked="" type="checkbox"/> Water conservation measures	<input checked="" type="checkbox"/> Cooling system replacement
<input type="checkbox"/> Roof top solar	<input type="checkbox"/> Community solar projects
<input checked="" type="checkbox"/> Compact fluorescent light bulbs	<input checked="" type="checkbox"/> Other - Describe: Mobile Homes: install/repair/replace damaged skirting; for house structures-water heater blankets, issue energy saving light bulbs, install / replace smoke and carbon monoxide detectors, vent registers, duct cleaning, repair / replace insulation in attic, crawl space, basements, rim joints. Mobile home bellies. Pre Season - annual clean/tune/or service HVAC system, ** Energy Star or similarly rated energy efficient products will be used when appropriate.
If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.	

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

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

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

- Place posters/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):

Specific outreach through other service organizations that serve potential beneficiaries / native american Low Income Households including Elder Nutrition Center, Community Health Representatives, WIC, Child Development Center, Tribal Housing, Tribal Clinic, Workforce & Social Services, etc. Notices are posted in high traffic areas or buildings.

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

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

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

7.1 Describe how you will ensure that the LIHEAP program is coordinated with other programs available to low-income households (TANF, SSI, WAP, etc.).

<input checked="" type="checkbox"/>	Joint application for multiple programs (indicate programs included) LIHEAP is included in P.L. 102-477 Plan of Service; Workforce & Social Service program utilizes one application.
<input checked="" type="checkbox"/>	Intake referrals to/from other programs (indicate programs included) CPN-Elder Services Network includes Community Health Representatives; This staff will go into the homes of the vulnerable elder and disabled population. They will assist the household with the online portal application process.
<input checked="" type="checkbox"/>	One - stop intake centers
<input checked="" type="checkbox"/>	Other - Describe:

Outreach to Caseworkers who are assisting potentially eligible applicants.

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

Section 8 - Agency Designation,, 2605(b)(6) - Assurance 6

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Section 8: Agency Designation, 2605(b)(6) - Assurance 6 (Required for state 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 Workforce & Social Services

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?

Not applicable

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

not applicable

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

Not applicable

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?				Other
--	--	--	--	-------

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?

Not applicable

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 type="checkbox"/>	Other - describe

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.

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.

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

Section 9 - Energy Suppliers,, 2605(b)(7) - Assurance 7

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Section 9: Energy Suppliers, 2605(b)(7) - Assurance 7

9.1 Do you make payments directly to home energy suppliers?

Heating Yes No

Cooling Yes No

Crisis Yes No

Are there exceptions? Yes No

If yes, Describe.

For renters where utilities are included in the rent, the payment is made to the landlord who is required to apply to rent credit or reduction.

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

Provide a notification that specifies the payment amount and vendor that was paid. The notification is sent the same day as the payment to the vendor is mailed or hand delivered. Clients are asked to watch their bill to make sure that the credit is applied.

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?

Home Energy supplier is provided a copy of the bill with the notation of the amount that is being paid on the clients behalf. Vendor and Household are both notified that household is responsible for any charges in excess of the payment being made by CPN. Vendors are notified that 'no household may be treated adversely because that household is receiving LIHEAP assistance. Promises to pay will be made in writing unless otherwise specified by the vendor. The majority of promises to pay are made by email or fax. Vendors are encouraged but not mandated to sign a Vendor Agreement which stays in effect until rescinded.

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?

Vendor agreements are mailed to each of the vendors who received payment from CPN on behalf in the past fiscal year. Language includes the assurance that no household will be treated adversely because of their receipt of LIHEAP assistance. NOTE: Only a few vendors chose to complete the form but all receive the notification.

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.

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

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

The Citizen Potawatomi Nation Accounting department provides monthly reports regarding the availability of funds. Internally within the Workforce & Social Services department, an allocation tracking MS Excel document is maintained. Through the Financial arm of the Nation, grant awards and expenditures are tracked and monitored against the funding levels and requirements. Vendor refunds (if any) are also returned according to the accounting code from which they originated (ie: heating, cooling, crisis, etc.).

10.1a Provide your definitions of the following:

Obligation

It is the policy of the Citizen Potawatomi Nation to consider funds obligated when a purchase order is issued.

Expenditures

Expenditure: Outflows or other uses of assets or incurring of liabilities (or a combination of both), during a period resulting from delivering or producing goods, rendering services or other activities that constitute the entity's ongoing major or central operations.

Expenditure timeframe

The period of time in which to spend approved funds as authorized by the award terms and conditions.

Administrative costs

Administrative Costs are defined in the Nation's negotiated Indirect Cost Rate.

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.

The Nation will issue a Request for Proposal. Any proposals received are reviewed according to the Purchasing Policy of the Nation. Based on that criteria, the auditor is chosen. The current auditors have been with us several years. We review the performance of the auditors annually to ensure they are administering the audit according to Federal guidelines and that there are no issues. If deemed satisfactory, we may choose to engage the same audit firm for the next fiscal year.

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.
<input checked="" type="checkbox"/> Internal program review <input checked="" type="checkbox"/> Departmental oversight <input checked="" type="checkbox"/> Secondary review of invoices and payments <input checked="" type="checkbox"/> Other program review mechanisms are in place. Describe: <p>Beginning October 1, 2023, LIHEAP has been included within the P.L. 102-477 Plan of the Tribe. We are now subject to review by the BIA-DWD during a plan cycle.</p> <p>All applications are reviewed by the primary reviewer and then by the WSS Director or designee. Either the primary reviewer and the secondary reviewer signs off on the completed application. Requisitions for checks / payments require a similar process. Supporting documentation must be attached. If either primary or secondary reviewer has a close or blood relationship with the applicant, that reviewer will excuse themselves from the review process. A different reviewer will step in to replace.</p>
Local Administering Agencies/District Offices:
<input type="checkbox"/> On - site evaluation <input type="checkbox"/> Annual program review <input type="checkbox"/> Monitoring through central database <input type="checkbox"/> Desk reviews <input type="checkbox"/> Client File Testing/Sampling <input checked="" type="checkbox"/> Other program review mechanisms are in place. Describe: <p>Self Monitoring - each file is reviewed prior to services being rendered and again at the end of the fiscal year prior to closing the file. The tribe is subject to the Single Audit Act and may be reviewed by random selection by the auditor or as deemed a 'Major Program'. Additionally, now that LIHEAP is included in P.L. 102-477 Plan, BIA-DWD AOTR will conduct a review at least once in a plan cycle. Random files will be reviewed.</p>
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.
10.9. How many local agencies are currently on corrective action plans?
If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.

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

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Section 11: Timely and Meaningful Public Participation, 2605(b)(12), 2605(C)(2)

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

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:

For Tribes in person hearings are not required. This year we chose other methods to conduct outreach and participation from targeted public who might be eligible. STAFF who provide services to vulnerable populations were targeted for their input and to help reach the households who might qualify for services. These included Adult Protection, Senior Services Network, Community Health Representatives, Indian Child Welfare, Tribal Police, and Workforce & Social services (WSS) counselors. A description which summarizes available services including the LIHEAP assistance is posted in the lobby. Applicants were all offered a chance to attend an in person training which focused on Energy Reduction and maintaining a safe and healthy home environment. Sign in Sheets from these sessions are attached. Most comments were verbal. No substantiative comments were received that resulted in a need to change the program.

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	05/19/2025	Elders Nutrition Center -outreach to elders and disabled
2	03/21/2025	Elders Nutrition Center - Outreach to elders and disabled -LIHEAP-CS-WSS 477 services
3	02/25/2025	Energy Reduction Classes - Outreach to users of 477 services LIHEAP-CS-WSS
4	02/26/2025	Energy Reduction Classes - Outreach to Users of 477 services LIHEAP-CS-WSS
5	02/27/2025	Energy Reduction Classes - Outreach to Users of 477 Services LIHEAP-CS-WSS
6	04/01/2025	Energy Reduction Classes - Outreach to Users of 477 Services LIHEAP-CS-WSS

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

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

n/a

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

none

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

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

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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?

not applicable

12.4 Describe your fair hearing procedures for households whose applications are denied and/or not acted upon in a timely manner.

Applicants who are denied services are advised by mail. The reason for the denials include: Incomplete application or ineligible(non-native, residence not within service area, previously served / duplication of service, or exceeds income limits).

Applications are processed in order received. Those in crisis indicate in the application this is the case. Those applications are expedited.

Uniform Grievance & Appeals Procedure: The Citizen Potawatomi Nation Workforce & SOcial Services program has established a uniformed grievance and appeals process. The procedure ensures due process and establishes a series of levels, starting with the informal resolution at the staff level. The final level of appeal is to a committee that includes the Department Director or designee, and two other senior level tribal administrative staff. Appeals to the final level must be made in writing within ten business days of the action being appealed. Participants will be notified of the determination within ten business days of the receipt of the written complaint. The levels are as follows: Step 1 Informal/ verbal complaint - review / resolve at staff level; Step 2 Written complaint time and date received are noted. Staff relays to Department Director or designee. Applicant is contacted to discuss complaint, obtain any needed details. Investigation and complaint resolution is determined and action taken. Applicant is notified of the determination. STEP 3 Final Formal Complain- if unable to resolve or the applicant is not satisfied with the determination, the applicant can submit a written request for final review. The documentation and investigatory items are provided to Sernor administrative staff within the Nation for review. Review and final determination are made and provided to the applicant.

12.5 When and how are applicants informed of these rights?

The Uniform Grievance and Appeals Procedure is included in the application which the applicant signs. It is also included in the Overview of Program Services which is posted in the lobby with copies available for the participant to take.

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

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

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

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

the Citizen Potawatomi Nation conducts Energy Reduction classes in both the winter months and again in the summer months. Tips, Pamphlets, and energy saving devices are offered to attendees. Additionally Subject Matter Experts are brought in as guest speakers to give ideas and other ways to reduce energy consumption. Participants are encouraged to share with others steps they have taken and what is working for them. For those who stay through the full class, a supplemental payment is made on their appropriate utility bill.

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

Budget Process and internal fiscal controls are in place. The Accounting mechanism will reject requests for payment when the budgeted amount will be exceeded.

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

Measurement of the impact is subjective. However, as households receive energy reduction items and continue to ask for more or replacement when those are gone, we gauge that as a success. Also, the verbal sharing of information at the classes would indicate that the household is finding these tips helpful and utilizing them. Some report a \$\$ figure that their bill has reflected as a reduction.

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

WINTER Reduction EDUCATION Classes offered to 346 - incentives paid to 144 and Summer Reduction Education classes have not been held yet but thus far 241 households have received services and will be offered the chance to attend the class.

Energy Reduction education classes were held in person in the Heating and in the Cooling seasons. Participating households for their attendance received a supplemental payment of \$100 on their respective utility bill. Special accommodations are made for those with special needs / disabilities, homebound, lack transportation, etc. These are accommodated on a 1 on 1 training basis. We estimate at least 20 households per season are assisted in this manner.

13.5 How many households received these services? 144

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.

not applicable

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			

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

Section 15 - Training

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Section 15: Training

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

a. 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:

Tribal training and manual address how applications are processed, confidentiality, reporting, and prevention of fraud among other things. Annual agency meetings P.L. 102-477 offers workshops where LIHEAP specific information is provided. Staff attend when offered.

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)

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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 applicable (tribal grantee)

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:

Report to Tribal attorney, court officials, and/or tribal police. Appropriate action is determined and taken per their guidance or authority. Internal auditor is alerted if appropriate.

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

		Required	Requested	Household Required	Household Requested	Members Required	Members Requested
1	Proof of Tribal affiliation - federally recognized tribal nation or certified degree of Indian blood.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" 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 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 checked="" type="checkbox"/> Other - Describe: <p style="margin-left: 20px;">new born children who have not yet received their social security number, will accept proof of recent birth from the hospital pending official state issued birth certificate and/or issuance of a social security number.</p>							
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 checked="" 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 checked="" type="checkbox"/> Other - Describe: <p style="margin-left: 20px;">Self attestation - certification statements are accepted if unable to provide other documentation as noted in the list above. Not all documents are applicable to all clients. In some cases online pay systems may not be available once the person leaves the employer after a certain lapse of time. Award / benefit letters, retirement, per capita payments, pensions, - the applicant may have limited access to the agency that can provide the requested documentation; therefore we accept self attestation / certification.</p>							
<input type="checkbox"/> Computer data matches: <input type="checkbox"/> Income information matched against state computer system (e.g., SNAP, TANF) <input type="checkbox"/> Proof of unemployment benefits verified with state Department of Labor <input 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 type="checkbox"/> Match SSNs with death records from Social Security Administration or state agency <input type="checkbox"/> Match SSNs with state eligibility/case management system (e.g., SNAP, TANF) <input type="checkbox"/> Match with state Department of Labor system <input type="checkbox"/> Match with state and/or federal corrections system <input 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 type="checkbox"/> Match SSN/Tribal ID number with tribal database or enrollment records (for tribal Grant recipients only)
<input checked="" type="checkbox"/> Other - Describe: CPN utilizes a TIN check system. This system check is ran against the applicant's self provided SSN.
17.6. Protection of Privacy and Confidentiality
Describe the financial and operating controls in place to protect client information against improper use or disclosure. Select all that apply.
<input checked="" type="checkbox"/> Policy in place prohibiting release of information without written consent
<input checked="" type="checkbox"/> Grant recipient LIHEAP database includes privacy/confidentiality safeguards
<input checked="" type="checkbox"/> Employee training on confidentiality for: <input checked="" type="checkbox"/> Grant recipient employees <input type="checkbox"/> Local agencies/district offices
<input checked="" type="checkbox"/> Employees must sign confidentiality agreement
<input checked="" type="checkbox"/> Grant recipient employees
<input type="checkbox"/> Local agencies/district offices
<input checked="" type="checkbox"/> Physical files are stored in a secure location
<input checked="" type="checkbox"/> Electronic files are protected in a secure location.
<input type="checkbox"/> Other - Describe:
17.7. Verifying the Authenticity
What policies are in place for verifying vendor authenticity? Select all that apply.
<input checked="" type="checkbox"/> All vendors must register with the State/Tribe.
<input checked="" type="checkbox"/> All vendors must supply a valid SSN or TIN/W-9 form
<input checked="" type="checkbox"/> Vendors are verified through energy bills provided by the household
<input type="checkbox"/> Grant recipient and/or local agencies/district offices perform physical monitoring of vendors
<input type="checkbox"/> Other - Describe and note any exceptions to policies above:
17.8. Benefits Policy - Gas and Electric Utilities
What policies are in place to protect against fraud when making benefit payments to gas and electric utilities on behalf of clients? Select all that apply.
<input checked="" type="checkbox"/> Applicants required to submit proof of physical residency
<input checked="" type="checkbox"/> Applicants must submit current utility bill
<input checked="" type="checkbox"/> Data exchange with utilities that verifies: <input checked="" type="checkbox"/> Account ownership <input checked="" type="checkbox"/> Consumption <input checked="" type="checkbox"/> Balances <input checked="" type="checkbox"/> Payment history <input checked="" type="checkbox"/> Account is properly credited with benefit
<input checked="" type="checkbox"/> Other - Describe: Applicant must be authorized user on the account.
<input type="checkbox"/> Centralized computer system/database tracks payments to all utilities
<input type="checkbox"/> Centralized computer system automatically generates benefit level
<input checked="" type="checkbox"/> Separation of duties between intake and payment approval
<input checked="" type="checkbox"/> Payments coordinated among other energy assistance programs to avoid duplication of payments
<input checked="" type="checkbox"/> Payments to utilities and invoices from utilities are reviewed for accuracy
<input type="checkbox"/> Computer databases are periodically reviewed to verify accuracy and timeliness of payments made to utilities
<input checked="" type="checkbox"/> Direct payment to households are made in limited cases only

<input checked="" type="checkbox"/> Procedures are in place to require prompt refunds from utilities in cases of account closure
<input type="checkbox"/> Vendor agreements specify requirements selected above, and provide enforcement mechanism
<input type="checkbox"/> Other - Describe:
17.9. Benefits Policy - Bulk Fuel Vendors
What procedures are in place for averting fraud and improper payments when dealing with bulk fuel suppliers of heating oil, propane, wood, and other bulk fuel vendors? Select all that apply.
<input checked="" type="checkbox"/> Vendors are checked against an approved vendors list
<input type="checkbox"/> Centralized computer system/database is used to track payments to all vendors
<input checked="" type="checkbox"/> Clients are relied on for reports of non-delivery or partial delivery
<input type="checkbox"/> Two-party checks are issued naming client and vendor
<input type="checkbox"/> Direct payment to households are made in limited cases only
<input type="checkbox"/> Vendors are only paid once they provide a delivery receipt signed by the client
<input type="checkbox"/> Conduct monitoring of bulk fuel vendors
<input type="checkbox"/> Bulk fuel vendors are required to submit reports to the grant recipient.
<input type="checkbox"/> Vendor agreements specify requirements selected above, and provide enforcement mechanism
<input checked="" type="checkbox"/> Other - Describe:
Clients are required to provide an 'estimated bill' which includes client account number and/or address. Once approved the bulk vendor is notified by email, fax, or phone with a 'promise to pay'. The requisition number or Purchase Order number are offered to the vendor as proof payment is in process. The vendor is notified CPN WSS will be paying the eligible amount. Any amount in excess will be the responsibility of the client. The client is also notified a payment was made on their behalf and they are responsible for any amount of the bill in excess of the authorized payment. To become a vendor: the vendor must provide a W-9 vendor package. At that time the TIN (tax Identification Number) check is performed. The name of the company must be exactly as registered on TIN system. For CPN WSS the bulk fuel referred to here is PROPANE.
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.
<input type="checkbox"/> Refer to state Inspector General
<input type="checkbox"/> Refer to local prosecutor or state Attorney General
<input type="checkbox"/> Refer to US DHHS Inspector General (including referral to OIG hotline)
<input checked="" type="checkbox"/> Local agencies/district offices or Grant recipient conduct investigation of fraud complaints from public
<input checked="" type="checkbox"/> Grant recipient attempts collection of improper payments. If so, describe the recoupment process
Grantee attempts to collect the improper payments directly. If unsuccessful it is turned over to the Nations legal department and court system for appropriate action. Tribal Legal Department, prosecutor, and/or police are advised of suspected fraud.
IF determination is perpetrated by the client, regardless if the funds are recouped, the client will be banned from services for a minimum of 1 to 3 years.
<input type="checkbox"/> Clients found to have committed fraud are banned from LIHEAP assistance. For how long is a household banned? 12 months- to 3 years
<input type="checkbox"/> Contracts with local agencies require that employees found to have committed fraud are reprimanded and/or terminated
<input checked="" type="checkbox"/> Vendors found to have committed fraud may no longer participate in LIHEAP
<input checked="" type="checkbox"/> Other - Describe:
Grantee attempts to collect the improper payments directly. If unsuccessful it is turned over to the Nations legal department and court system for appropriate action. Tribal Legal Department, prosecutor, and/or police are advised of suspected fraud.
IF determination is perpetrated by the client, regardless if the funds are recouped, the client will be banned from services for a minimum of 1 to 3 years.
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.*)

1549 Workforce Drive

*** Address Line 1**

Workforce & Social Services Building
Address Line 2

Citizen Potawatomi Nation
Address Line 3

Shawnee
*** City**

Oklahoma
*** State**

74801-0000
*** 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.