

# DETAILED MODEL PLAN (LIHEAP)

## Mandatory Grant Application SF-424

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

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

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

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

#### 7. APPLICANT INFORMATION

<b>* a. Legal Name:</b> Arizona Department of Economic Security			
<b>* b. Employer/Taxpayer Identification Number (EIN/TIN):</b> 86-6004791		<b>* c. Organizational DUNS:</b> 1367304340000	
<b>* d. Address:</b>			
<b>* Street 1:</b>	1789 WEST JEFFERSON 3RD FLOOR NW	<b>Street 2:</b>	P.O. BOX 6123
<b>* City:</b>	PHOENIX	<b>County:</b>	Maricopa
<b>* State:</b>	AZ	<b>Province:</b>	
<b>* Country:</b>	United States	<b>* Zip / Postal Code:</b>	85007 -320

#### e. Organizational Unit:

<b>Department Name:</b> N/A	<b>Division Name:</b> Aging and Adult Services
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#### f. Name and contact information of person to be contacted on matters involving this application:

<b>Prefix:</b> Ms.	<b>* First Name:</b> Kathleen	<b>Middle Name:</b>	<b>* Last Name:</b> Cruz
<b>Suffix:</b>	<b>Title:</b> LIHEAP Coordinator	<b>Organizational Affiliation:</b>	
<b>* Telephone Number:</b> 602-542-6620	<b>Fax Number:</b> 602-542-6655	<b>* Email:</b> kcruz@azdes.gov	

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

#### b. Additional Description:

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

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

#### 11. Descriptive Title of Applicant's Project LIHEAP State Plan

#### 12. Areas Affected by Funding:

#### 13. CONGRESSIONAL DISTRICTS OF:

<b>* a. Applicant</b> 07	<b>b. Program/Project:</b> Statewide
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Attach an additional list of Program/Project Congressional Districts if needed.

<b>14. FUNDING PERIOD:</b>		<b>15. ESTIMATED FUNDING:</b>	
<b>a. Start Date:</b> 10/01/2014	<b>b. End Date:</b> 09/30/2015	<b>* a. Federal (\$):</b> \$0	<b>b. Match (\$):</b> \$0
<b>* 16. IS SUBMISSION SUBJECT TO REVIEW BY STATE UNDER EXECUTIVE ORDER 12372 PROCESS?</b>			
a. This submission was made available to the State under the Executive Order 12372			
Process for Review on :			
b. Program is subject to E.O. 12372 but has not been selected by State for review.			
c. Program is not covered by E.O. 12372.			
<b>* 17. Is The Applicant Delinquent On Any Federal Debt?</b>			
NO			
Explanation:			
<b>18. By signing this application, I certify (1) to the statements contained in the list of certifications** and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)</b>			
<b>**I Agree ✓</b>			
<b>** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.</b>			
<b>18a. Typed or Printed Name and Title of Authorized Certifying Official</b> Clarence H. Carter		<b>18c. Telephone (area code, number and extension)</b> ( 602) 542- 5757 Ext.	
		<b>18d. Email Address</b> Director@azdes.gov	
<b>18b. Signature of Authorized Certifying Official</b> 		<b>18e. Date Report Submitted (Month, Day, Year)</b> 08/29/2014	
<b>Attach supporting documents as specified in agency instructions.</b>			

## Section 1 - Program Components

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

August 1987, revised 05/92,02/95,03/96,12/98,11/01  
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### LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP) MODEL PLAN SF - 424 - MANDATORY

Department of Health and Human Services  
Administration for Children and Families  
Office of Community Services  
Washington, DC 20447

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

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

## Section 1 Program Components

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

1.1 Check which components you will operate under the LIHEAP program. (Note: You must provide information for each component designated here as requested elsewhere in this plan.)	Dates of Operation	
	Start Date	End Date
<input checked="" type="checkbox"/>	Heating assistance	10/01/2014 09/30/2015
<input checked="" type="checkbox"/>	Cooling assistance	10/01/2014 09/30/2015
<input checked="" type="checkbox"/>	Crisis assistance	10/01/2014 09/30/2015
<input checked="" type="checkbox"/>	Weatherization assistance	10/01/2014 09/30/2015

Provide further explanation for the dates of operation, if necessary

Estimated Funding Allocation, 2604(C), 2605(k)(1), 2605(b)(9), 2605(b)(16) - Assurances 9 and 16

1.2 Estimate what amount of available LIHEAP funds will be used for each component that you will operate: The total of all percentages must add up to 100%.	Percentage ( % )
Heating assistance	22.70%
Cooling assistance	42.10%
Crisis assistance	5.00%
Weatherization assistance	15.00%
Carryover to the following federal fiscal year	0.00%
Administrative and planning costs	10.00%
Services to reduce home energy needs including needs assessment (Assurance 16)	5.00%
Used to develop and implement leveraging activities	0.20%
<b>TOTAL</b>	<b>100.00%</b>

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

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

	Heating assistance		Cooling assistance		
	Weatherization assistance	✓	Other (specify:) Support a year round crisis assistance program that includes heating and cooling.		
Categorical Eligibility, 2605(b)(2)(A) - Assurance 2, 2605(c)(1)(A), 2605(b)(8A) - Assurance 8					
1.4 Do you consider households categorically eligible if one household member receives one of the following categories of benefits in the left column below? No					
If you answered "Yes" to question 1.4, you must complete the table below and answer questions 1.5 and 1.6.					
	Heating	Cooling	Crisis	Weatherization	
TANF					
SSI					
SNAP					
Means-tested Veterans Programs					
	Program Name	Heating	Cooling	Crisis	Weatherization
Other(Specify) 1					
1.5 Do you automatically enroll households without a direct annual application? No					
If Yes, explain:					
1.6 How do you ensure there is no difference in the treatment of categorically eligible households from those not receiving other public assistance when determining eligibility and benefit amounts?					
SNAP Nominal Payments					
1.7a Do you allocate LIHEAP funds toward a nominal payment for SNAP households? No					
If you answered "Yes" to question 1.7a, you must provide a response to questions 1.7b, 1.7c, and 1.7d.					
1.7b Amount of Nominal Assistance: \$0					
1.7c Frequency of Assistance					
	Once Per Year				
	Once every five years				
	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 ?					
✓	Gross Income				
	Net Income				
1.9. Select all the applicable forms of countable income used to determine a household's income eligibility for LIHEAP					
✓	Wages				
✓	Self - Employment Income				
✓	Contract Income				
✓	Payments from mortgage or Sales Contracts				
✓	Unemployment insurance				
✓	Strike Pay				
✓	Social Security Administration (SSA ) benefits				
	Including MediCare deduction	Excluding MediCare deduction			

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

	Reimbursements (for mileage, gas, lodging, meals, etc.)
✓	<b>Other</b> Cash gifts \$50 or over are counted. Earned income of a child under the age of 18 if not a full time student.
If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.	

## Section 2 - HEATING ASSISTANCE

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

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

## Section 2 - Heating Assistance

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

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

Add	Household size	Eligibility Guideline	Eligibility Threshold
1	6	State Median Income	60.00%
2	7	HHS Poverty Guidelines	150.00%

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

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

**Do you require an Assets test ?** No

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

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

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

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

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

Eligibility points are given to household with elderly (60+ years old), disabled, children 6 years old and under and working poor. A household may receive one point for each category if eligible.

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.**

Eligibility points are given to household with elderly (60+ years old), disabled, children 6 years old and under and working poor. A household may receive one point for each category if eligible.

**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:**

(Elderly, disabled, working poor and households with children age six (6) and under are given additional points for eligibility, which could increase the benefit level.)

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

**2.6 Describe estimated benefit levels for FY 2015:**

<b>Minimum Benefit</b>	\$75	<b>Maximum Benefit</b>	\$640
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**2.7 Do you provide in-kind (e.g., blankets, space heaters) and/or other forms of benefits? Yes**

**If yes, describe.**

Service Providers make blankets available when possible.

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

**Section 3 - COOLING ASSISTANCE**

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES  
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**Section 3 - Cooling Assistance**

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

**3.1 Designate The income eligibility threshold used for the Cooling componenet:**

Add	Household size	Eligibility Guideline	Eligibility Threshold
1	6	State Median Income	60.00%
2	7	HHS Poverty Guidelines	150.00%

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

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

**Do you require an Assets test ?** No

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

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

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

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

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

Eligibility points are given to household with elderly (60+ years old), disabled, children 6 years old and under and working poor. A household may receive one point for each category if eligible.

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

Elderly, disabled, working poor and households with children age six and under are given additional points for eligibility, which could increase the benefit level.

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

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

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

**Other - Describe:**

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

**3.6 Describe estimated benefit levels for FY 2015:**

<b>Minimum Benefit</b>	\$75	<b>Maximum Benefit</b>	\$640
------------------------	------	------------------------	-------

**3.7 Do you provide in-kind (e.g., fans, air conditioners) and/or other forms of benefits? Yes**

**If yes, describe.**

Service Providers provide fans when available.

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

## Section 4 - CRISIS ASSISTANCE

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES  
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### LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP) MODEL PLAN SF - 424 - MANDATORY

## Section 4: CRISIS ASSISTANCE

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

#### 4.1 Designate the income eligibility threshold used for the crisis component

Add	Household size	Eligibility Guideline	Eligibility Threshold
1	6	State Median Income	60.00%
2	7	HHS Poverty Guidelines	150.00%

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

A crisis is defined as a delinquent or shut off notice, or if utilities are included in the rent, an eviction notice is required.

Added to the definition of a crisis is the determination of a Human Service Emergency made by the Arizona Department of Economic Security. A Human Service Emergency includes, but is not limited to, fire or flood which results in the evacuation of homes and shelters. Upon determination of a Human Service Emergency, households affected may be assisted with costs to temporarily shelter or house individuals in hotels, apartments or other living situations, i.e., placing people in settings to preserve health and safety and to move them away from the crisis situation.

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

A life-threatening crisis is defined as, but not limited to, individuals who are exposed to extreme indoor temperatures that adversely affect their health and can potentially directly or indirectly lead to death. A life-threatening crisis also includes individuals who must utilize life sustaining medical equipment and are either unable to pay their utility bill or are within five days of running out of fuel/utility or being shut off. A household member's health and/or well-being would likely be endangered if energy assistance is not provided.

#### Crisis Requirement, 2604(c)

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

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

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

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

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

Do you require an Assets test ? No

Do you give priority in eligibility to :

Elderly?	Yes
Disabled?	Yes
Young Children?	Yes
Households with high energy burdens?	Yes
Other? working poor	Yes

In Order to receive crisis assistance:

Must the household have received a shut-off notice or have a near empty tank?	Yes
Must the household have been shut off or have an empty tank?	Yes
Must the household have exhausted their regular heating benefit?	Yes
Must renters with heating costs included in their rent have received an eviction notice ?	Yes

Must heating/cooling be medically necessary?	No
Must the household have non-working heating or cooling equipment?	No
Other?	No
<b>Do you have additional / differing eligibility policies for:</b>	
Renters?	No
Renters living in subsidized housing?	No
Renters with utilities included in the rent?	No
<b>Explanations of policies for each "yes" checked above:</b>	
Although the point system is not used for LIHEAP supplemental assistance, the household must receive heating/cooling assistance either prior to or with the supplemental payment. The point system is utilized to determine the household's LIHEAP assistance and is not recalculated for the supplemental payment.	
Determination of Benefits	
<b>4.8 How do you handle crisis situations?</b>	
<input checked="" type="checkbox"/>	Separate component
<input type="checkbox"/>	Fast Track
<input checked="" type="checkbox"/>	Other - Describe: Supplemental Crisis assistance is available to applicants who have already received assistance within a twelve (12) month period. The applicant must have a shut-off; disconnect notice or a notice that the utility has already been disconnected or an eviction notice if utilities are included in the rent.
<b>4.9 If you have a separate component, how do you determine crisis assistance benefits?</b>	
<input type="checkbox"/>	Amount to resolve the crisis.
<input checked="" type="checkbox"/>	Other - Describe: Amount to resolve crisis, up to a maximum of \$500
Crisis Requirements, 2604(c)	
<b>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?</b>	
Yes Explain.	
Accommodations are made to address households in rural areas by various Service Providers offering satellite locations and partnering with local community agencies that are geographically accessible to households. Some Service Providers travel to alternate locations to accommodate those who reside in rural areas.	
<b>4.11 Do you provide individuals who are physically disabled the means to:</b>	
<b>Submit applications for crisis benefits without leaving their homes?</b>	
Yes If No, explain.	
<b>Travel to the sites at which applications for crisis assistance are accepted?</b>	
Yes If No, explain.	
If you answered "No" to both options in question 4.11, please explain alternative means of intake to those who are homebound or physically disabled?	
Benefit Levels, 2605(c)(1)(B)	
<b>4.12 Indicate the maximum benefit for each type of crisis assistance offered.</b>	
Winter Crisis	\$0 maximum benefit
Summer Crisis	\$0 maximum benefit
Year-round Crisis	\$500 maximum benefit
<b>4.13 Do you provide in-kind (e.g. blankets, space heaters, fans) and/or other forms of benefits?</b>	
Yes If yes, Describe	
Service Providers provide blankets, space heaters and fans are provided when available.	

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

No

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

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

	Winter Crisis	Summer Crisis	Year-round Crisis
Heating system repair			
Heating system replacement			
Cooling system repair			
Cooling system replacement			
Wood stove purchase			
Pellet stove purchase			
Solar panel(s)			
Utility poles / gas line hook-ups			
Other (Specify): Eligible applicants with disconnect, shut off notices or eviction notices related to not being able to pay utility bills are provided crisis assistance.			✓

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

Yes

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

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

Several of Arizona's energy vendors enforce moratoriums with varying criteria. The largest energy vendors are represented below with their specific guidelines.

In accordance with Arizona Administrative Code 14-2-211(A)(5)(c) & 14-2-201(46), Arizona Public Service (APS) uses 32 degrees Fahrenheit as the point in which they stop disconnections for non-payment for low temperatures. In addition, APS also developed an internal business process where disconnections are suppressed for non-payment when high heat stress indexes are present, as determined by the Phoenix Heat Alert website that relies on heat and humidity predictions from the National Oceanic and Atmospheric Administration (NOAA).

Southwest Gas (SWG) tariff is prohibited from performing shutoffs during periods of time where weather will be especially dangerous to one's health. These weather conditions are defined as that period of time commencing with the scheduled termination date when the local weather forecast, as predicted by the NOAA, indicates that the temperature will not exceed 32 degrees Fahrenheit for the next day's forecast. The Corporation Commission may determine that other weather conditions are especially dangerous to one's health as the need arises.

Salt River Project (SRP) self-initiates moratoriums in the winter and summer based on weather conditions. The duration of the self-initiated moratoriums fluctuates based on weather conditions. The criteria for moratoriums are excessive heat warnings issued by the National Weather Service.

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

**Section 5 - WEATHERIZATION ASSISTANCE**

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES  
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 SF - 424 - MANDATORY**

**Section 5: WEATHERIZATION ASSISTANCE**

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

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

Add	Household Size	Eligibility Guideline	Eligibility Threshold
1	6	State Median Income	60.00%
2	7	HHS Poverty Guidelines	150.00%

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

**5.3 If yes, name the agency.** Arizona Governor's Office of Energy Policy

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

**WEATHERIZATION - Types of Rules**

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

Entirely under LIHEAP (not DOE) rules

Entirely under DOE WAP (not LIHEAP) rules

**Mostly under LIHEAP rules with the following DOE WAP rule(s) where LIHEAP and WAP rules differ (Check all that apply):**

**Income Threshold**

Weatherization of entire multi-family housing structure is permitted if at least 66% of units (50% in 2- & 4-unit buildings) are eligible units or will become eligible within 180 days

Weatherize shelters temporarily housing primarily low income persons (excluding nursing homes, prisons, and similar institutional care facilities).

Other - Describe:

Weatherization measures are not subject to DOE Savings to Investment Ratio (SIR) standards.

**Mostly under DOE WAP rules, with the following LIHEAP rule(s) where LIHEAP and WAP rules differ (Check all that apply.)**

**Income Threshold**

Weatherization not subject to DOE WAP maximum statewide average cost per dwelling unit.

Weatherization measures are not subject to DOE Savings to Investment Ration (SIR) standards.

Other - Describe:

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

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

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

**Renters** No

**Renters living in subsidized housing?** No

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

**Elderly?** Yes

**Disabled?** Yes

**Young Children?** Yes

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

Other?

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.

Elderly, disabled, working poor and households with children age six (6) and under are given additional points for eligibility, which could increase the benefit level.

**Benefit Levels**

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

**5.10 If yes, what is the maximum? \$6,000**

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

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

<input checked="" type="checkbox"/> Weatherization needs assessments/audits	<input checked="" type="checkbox"/> Energy related roof repair
<input checked="" type="checkbox"/> Caulking and insulation	<input checked="" type="checkbox"/> Major appliance Repairs
<input checked="" type="checkbox"/> Storm windows	<input checked="" type="checkbox"/> Major appliance replacement
<input checked="" type="checkbox"/> Furnace/heating system modifications/ repairs	<input checked="" type="checkbox"/> Windows/sliding glass doors
<input checked="" type="checkbox"/> Furnace replacement	<input checked="" type="checkbox"/> Doors
<input checked="" type="checkbox"/> Cooling system modifications/ repairs	<input checked="" type="checkbox"/> Water Heater
<input checked="" type="checkbox"/> Water conservation measures	<input checked="" type="checkbox"/> Cooling system replacement
<input checked="" type="checkbox"/> Compact florescent light bulbs	<input checked="" type="checkbox"/> <b>Other - Describe:</b> Replacement of air sealing/envelope sealing, duct sealing, base load measures, appliances that have high/unsafe Carbon Dioxide readings, weather-stripping of doors and windows and other health and safety needs of clients shall be allowable.

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

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

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

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

Place posters/flyers in local and county social service offices, offices of aging, Social Security offices, VA, etc.

Publish articles in local newspapers or broadcast media announcements.

Include inserts in energy vendor billings to inform individuals of the availability of all types of LIHEAP assistance.

Mass mailing(s) to prior-year LIHEAP recipients.

Inform low income applicants of the availability of all types of LIHEAP assistance at application intake for other low-income programs.

Execute interagency agreements with other low-income program offices to perform outreach to target groups.

Other (specify):

Service Providers periodically hold mass intake events.

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

The Arizona Department of Economic Security will continue its policy of cooperation, coordination, and information exchange with the Governor's Office of Energy Policy, LIHEAP Provider Agencies, Community Services Block Grant providers, the Social Security Administration, and any other Energy Programs in order to minimize duplication of services and maximize services available to eligible clients. This cooperation is in the form of both formal and informal meetings, coordination of contracting procedures and contractors, exchange of significant correspondence, and joint planning. Currently, the same Assistant Director administers the Community Services, Social Services, and the Low Income Home Energy Assistance Program Block Grants. Coordination between the three Block Grants occurs on a regular basis to ensure that the needs of the low income households are addressed. The LIHEAP Weatherization Program is administered by the Governor's Office of Energy Policy, which also operates the DOE Weatherization Program.

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

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

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**Section 8: Agency Designation, 2605(b)(6) - Assurance 6 (Required for state grantees and the Commonwealth of Puerto Rico)**

**8.1 How would you categorize the primary responsibility of your State agency?**

<input checked="" type="checkbox"/>	Administration Agency
<input type="checkbox"/>	Commerce Agency
<input type="checkbox"/>	Community Services Agency
<input type="checkbox"/>	Energy / Environment Agency
<input type="checkbox"/>	Housing Agency
<input type="checkbox"/>	Welfare Agency
<input type="checkbox"/>	Other - Describe:

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

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

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

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

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

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

**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?**

Eleven Community Action Agencies were awarded as LIHEAP providers due to the 2003 procurement code change that exempts Community Action Agencies (A.R.S §41-2081.P). The two other LIHEAP Service Providers are nonprofit agencies and were awarded LIHEAP funds using the State procurement process. Tohono O'dham Nation is awarded LIHEAP as a sub-grantee.

**8.7 How many local administering agencies do you use? 13**

**8.8 Have you changed any local administering agencies in the last year?**  
No

**8.9 If so, why?**

Agency was in noncompliance with grantee requirements for LIHEAP -

Agency is under criminal investigation

Added agency

Agency closed

Other - describe

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

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

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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 No

Cooling No

Crisis No

Are there exceptions? No

If yes, Describe.

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

Clients are notified by Service Providers via an approval letter of the amount paid on their behalf.

**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?**

Energy suppliers will, through their normal billing process, apply the Energy Assistance payments to the approved households' account, just as any other payment would be applied.

**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?**

Local Service Providers assure that households receiving LIHEAP are not treated adversely by working collaboratively with energy vendors.

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

No

If so, describe the measures unregulated vendors may take.

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

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

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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 LIHEAP funds?**

Arizona Department of Economic Security assures that fiscal control and fund accounting procedures are established to assure the proper accounting of their disbursement of federal funds paid to the state under this program, including procedures for monitoring the assistance provided under this title, and that the Arizona Auditor General's Office includes LIHEAP in its audit of program expenditures in accordance with the Single Audit Act of 1984.

**Audit Process**

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

Yes

**10.3. Describe any audit findings rising to the level of material weakness or reportable condition cited in the A-133 audits, Grantee monitoring assessments, inspector general reviews, or other government agency reviews of the LIHEAP agency from the most recently audited fiscal year.**

**No Findings**

Finding	Type	Brief Summary	Resolved?	Action Taken
1	reporting	1. The 2012 State of Arizona Single Audit of Low-Income Home Energy Assistance (LIHEAP) found errors in the LIHEAP Annual Household Report submitted during FY 2012.	Yes	procedure/policy changes

**10.4. Audits of Local Administering Agencies**

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

Select all that apply.

- Local agencies/district offices are required to have an annual audit in compliance with Single Audit Act and OMB Circular A-133
- Local agencies/district offices are required to have an annual audit (other than A-133)
- Local agencies/district offices' A-133 or other independent audits are reviewed by Grantee as part of compliance process.
- Grantee conducts fiscal and program monitoring of local agencies/district offices

**Compliance Monitoring**

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

Grantee employees:

- Internal program review
- Departmental oversight
- Secondary review of invoices and payments

Other program review mechanisms are in place. Describe:

Local Administering Agencies / District Offices:

- On - site evaluation
- Annual program review

**Monitoring through central database**

✓ Desk reviews

✓ Client File Testing / Sampling

**Other program review mechanisms are in place. Describe:**

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

**Schedule** - Monitoring of Service Providers will occur at least every other year on a rotational basis. Any Service Provider that has a particular problem will be given technical assistance until the problem is resolved.

**Focus** - Monitoring focuses on the following areas: program, fiscal, policy and general contract requirements. Monitoring may occur through a desk review of materials or on-site monitoring. Weatherization monitoring encompasses the aforementioned areas plus on-site quality control inspection of weatherized homes. Monitoring visits are also used for contractor training and technical assistance as required. Monitoring relates to Service Providers' separate evaluations of internal controls, such as control self-assessments or internal procedures and performance. Internal monitoring processes shall be practiced by Service Providers. LIHEAP Service Providers have a responsibility to monitor and be monitored for compliance with program requirements.

The Arizona Department of Economic Security monitors Service Providers' compliance with all requirements of federal, state and local laws, the contractual requirements and directives in the policy manual. The Service Provider shall cooperate in the evaluation of contracted services. The evaluation may assess the Service Provider's progress and/or success in achieving the goals, objectives and deliverables set forth in their contract related to LIHEAP.

**Protocol** - The Arizona Department of Economic Security shall provide the Service Provider with a request for needed documents, such as, case management files, fiscal and administrative records, at least one week prior to the scheduled monitoring date. Regarding unscheduled monitoring, the Arizona Department of Economic Security may request needed documents while on-site without prior notice. The Arizona Department of Economic Security will communicate recommendations or findings with key personnel and provide the opportunity for clarification, and will provide written results of the monitoring in a reasonable amount of time.

The Service Provider will ensure that key personnel are available for discussion during the scheduled monitoring and that the requested records are available and in order beginning on the first day of the scheduled on-site monitoring visit. It is the Arizona Department of Economic Security's expectation that the monitoring will begin at the agreed date and time for scheduled monitoring.

The on-site monitoring visit will include these activities:

The interview should include the Arizona Department of Economic Security Contract Specialist, Arizona Department of Economic Security Program Specialist and the Service Provider's Program Manager. It may include other Arizona Department of Economic Security and Service Provider staff upon request of the Arizona Department of Economic Security Contract Specialist, Arizona Department of Economic Security Program Specialist or at the discretion of the Service Provider. The entrance interview will describe the monitoring activities that will take place, review the monitoring process and schedule interviews with other Service Provider staff, as requested by the Arizona Department of Economic Security monitoring team.

On-site compliance monitoring will consist of a program review, with follow-up questions appropriate to the local situation. In order to complete the compliance monitoring, the Arizona Department of Economic Security Contract Specialist and/or the Arizona Department of Economic Security Program Specialist will interview the Service Provider Program Manager, the Fiscal Director, the position responsible for outreach activities, and any other staff whose work is integral to the program, as well as applicants.

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

**Site Visits:**

Service Providers are monitored according to a biennial schedule on a rotational basis. If there are concerns related to a specific Service Provider's operations that Provider would be a priority for monitoring.

**Desk Reviews:**

Desk reviews are conducted on a monthly basis for financial and contract compliance.

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

Service Providers are monitored according to a biennial schedule on a rotational basis.

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

The Arizona Department of Economic Security has not captured collective data in this area, however; resolution to eligibility determination issues is addressed at the time of monitoring and in a formal Report of Findings.

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

The Arizona Department of Economic Security has not captured collective data in this area, however; resolution to eligibility determination issues is addressed at the time of monitoring and in a formal Report of Findings.

**10.11. How many local agencies are currently on corrective action plans for eligibility and/or benefit determination issues? 0**

**10.12. How many local agencies are currently on corrective action plans for financial accounting or administrative issues? 0**

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

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

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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.

Tribal Council meeting(s)

Public Hearing(s)

Draft Plan posted to website and available for comment

Hard copy of plan is available for public view and comment

Comments from applicants are recorded

Request for comments on draft Plan is advertised

Stakeholder consultation meeting(s)

Comments are solicited during outreach activities

Other - Describe:

11.2 What changes did you make to your LIHEAP plan as a result of this participation?

Section 17.3 Identification Verification was modified to reflect that some Service Providers verify Social Security Numbers with the State Eligibility/Management System (e.g. SNAP, TANF).

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

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

	Date	Event Description
1	05/22/2014	Phoenix Public Hearing
2	06/04/2014	Flagstaff Public Hearing
3	06/10/2014	Tucson Public Hearing

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

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

Overall comments were regarding Service Providers requesting that OCS change the State Plan Form to reflect the cooling realities of warm weather states. Section 10.6, Monitoring Protocol; that the monitoring protocol be more specific with a 30 day notification and case management list from the Department of Economic Security. It was also mentioned that in section 17.2(A) that the government issued identification categories is incomplete and causes concern that certain items listed, but not all that are recognized and used. In Section 17.3 Identification Verification, additional items that should be checked off; match Social Security Numbers with state eligibility/management system (e.g. SNAP, TANF).

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

Section 17.2(A) Identification Forms; other government issued identification categories were added in 'other'. Section 17.3 Identification Verification; other was checked with language to include Some Service Providers verify SSNs with the State eligibility/management system (e.g. SNAP, TANF).

**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 grantee have in the prior Federal fiscal year? 0

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

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

No policy and/or procedural changes were made in the last federal fiscal year as a result of fair hearings.

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

A Fair Hearing procedure is in place within the Department of Economic Security (DES), Division of Aging and Adult Services (DAAS) Community Action Programs Unit and the Community Action Agencies (CAAs). Clients will be notified at time of application of their right to appeal.

Step One: An opportunity to file a request for a fair hearing regarding any adverse action shall be granted by the CAA to any applicant/recipient who requests a hearing because his or her benefit assistance is denied, delayed, discontinued, suspended or terminated. The applicant/recipient must within ten working days provide in writing a statement of the grounds for the hearing. The request must be submitted to the CAA within ten working days after the mailing date on the decision letter. The CAA receiving the grievance will make all efforts to resolve the issues within ten working days of the request.

Step Two: In the event the applicant/recipient wishes to appeal the decision of the CAA, the applicant/recipient may within ten working days of receiving the CAA decision letter appeal in writing to the Arizona Department of Economic Security Assistant Director. The Assistant Director will assign the appropriate personnel to conduct the hearing. A decision will be provided within ten working days of the appeal letter.

Step Three: In the event the applicant/recipient wishes to appeal the decision of the Arizona Department of Economic Security Assistant Director, the applicant/recipient may within ten working days of receiving the Arizona Department of Economic Security Assistant Director's decision letter request in writing a fair hearing from the Arizona Court of Appeals. The Arizona Court of Appeals will be responsible for conducting the hearing and providing a decision within 60 days of the request.

Step Four: In the event the applicant/recipient wishes to appeal the decision of the Arizona Court of Appeals, the applicant/recipient may within ten working days of receiving the Arizona Court of Appeals decision letter request in writing a fair hearing from the Department of Health and Human Services, Office of Community Services in Washington D.C. The Department of Health and Human Services, Office of Community Services in Washington D.C. will be responsible for providing a decision within 60 days of the request.

12.5 When and how are applicants informed of these rights?

Applicants are informed of the right to a fair hearing through notices posted in Service Providers' waiting areas and in writing and verbally during their initial intake appointment. Applicants are informed through a written notice either included in the packet provided prior to the intake appointment or during the intake appointment.

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

A Fair Hearing procedure is in place within the Department of Economic Security (DES), Division of Aging and Adult Services (DAAS) Community Action Programs Unit and the Community Action Agencies (CAAs). Clients will be notified at time of application of their right to appeal.

Step One: An opportunity to file a request for a fair hearing regarding any adverse action shall be granted by the CAA to any applicant/recipient who requests a hearing because his or her benefit assistance is denied, delayed, discontinued, suspended or terminated. The applicant/recipient must within ten working days provide in writing a statement of the grounds for the hearing. The request must be submitted to the CAA within ten working days after the mailing date on the decision letter. The CAA receiving the grievance will make all efforts to resolve the issues within ten working days of the request.

Step Two: In the event the applicant/recipient wishes to appeal the decision of the CAA, the applicant/recipient may within ten working days of receiving the CAA decision letter appeal in writing to the Arizona Department of Economic Security Assistant Director. The Assistant Director will assign the appropriate personnel to conduct the hearing. A decision will be provided within ten working days of the appeal letter.

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Step Four: In the event the applicant/recipient wishes to appeal the decision of the Arizona Court of Appeals, the applicant/recipient may within ten working days of receiving the Arizona Court of Appeals' decision letter request in writing a fair hearing from the Department of Health and Human Services, Office of Community Services

in Washington D.C. The Department of Health and Human Services, Office of Community Services in Washington D.C. will be responsible for providing a decision within 60 days of the request.

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

Applicants are informed of the right to a fair hearing through notices posted in Service Providers' waiting areas and in writing and verbally during their initial intake appointment. Applicants are informed through a written notice either included in the packet provided prior to the intake appointment or during the intake appointment.

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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?**

Service Providers offer energy reduction education through brochures, teaching applicants during the application process, in-house tutorial videos presented in waiting areas, and classes.

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

To ensure that no more than 5% of LIHEAP funding is used for Assurance 16 purposes the Arizona Department of Economic Security utilizes fiscal and program controls, including fund accounting procedures, to assure that Service Providers abide by the federal guidelines.

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

The Arizona Department of Economic Security has not collected this LIHEAP data for FFY 2014, however; future plans are to incorporate information collected in FFY 2015.

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

FFY 2014 data is not available, however the direct level benefits provided to households in FFY 2013 was \$7,856,626.

**13.5 How many households applied for these services?** Applicants do not apply for these services; they are offered the education during their initial intake appointments. In FFY 2013, 22,728 households were served.

**13.6 How many households received these services?** In FFY 2013, 22,728 households were served.

**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

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

A request for submittal is emailed to Service Providers along with all pertinent attachments (blank leveraging report and previous year report/reports submitted, if applicable) with a deadline to submit all leveraging resource reports by October 15<sup>th</sup>.

**14.3 For each type of resource and/or benefit to be leveraged in the upcoming year that will meet the requirements of 45 C.F.R. Â§ 96.87(d)(2)(iii), describe the following:**

Resource	What is the type of resource or benefit ?	What is the source(s) of the resource ?	How will the resource be integrated and coordinated with LIHEAP?
1	Arizona Community Action Association (CAA) Â Utility Repair, Replace and Deposit Program (URRD)	URRD funds are used by community action agencies in coordination with LIHEAP for deposits, and repairs, or replacements of energy related appliances and systems.	E
2	Arizona Community Action Association (CAA) Â Home Energy Assistance Fund	This resource provides energy assistance to eligible low income households statewide.	A
3	Arizona Public Service (APS)	Provides a discount to households based on electricity usage for each month.	D
4	APS/Community Action Partnership	APS provides funding for materials, supplies and repairs to low income homeowners for weatherization. Funds are also used to provide utility assistance payments for gas and electric to LIHEAP eligible households.	A
5	City of Phoenix Water Fund (Project Assist)	The Project Assist dollars are used in conjunction with LIHEAP funds to assist low income families in addressing their utility and water needs.	N/A
6	City of Scottsdale Utility Assistance Program	Funds are used to provide emergency utility assistance to low income families.	A
7	City of Tucson Â Low Income Assistance Program	Funds are used to provide a discount to low income households with water bills.	A
8	Coconino County General Funds* (*Not State General Funds)	Funds are used to provide low income Coconino County residents with financial assistance with utility bills in conjunction with LIHEAP.	A, C and E
9	Donations to Agency	The resource provides funds to the Community Action Human Resources Agency (CAHRA), LIHEAP provider, for utility assistance to low income households.	N/A
	Neighbors Helping	Funds for Home Energy Assistance available statewide.	

10	Neighbors	Funds are received through a voluntary State Tax check off.	E
11	Pima County General Fund - Utility Assistance	Funds are used to provide low income Pima County residents with financial assistance with utility bills in conjunction with LIHEAP.	N/A
12	Salt River Project (SRP) Bill Assistance Program	This resource provides funds to meet the energy affordability needs of low income customers.	A
13	SRP - Economy Price Plan	Provides a discount to households based on monthly electricity usage. The LIHEAP Grantee and Arizona Community Action Association met with SRP to discuss the expansion of the utility discount program to all low income households rather than only seniors. All low income households at 150 percent of poverty may apply for the discount. A LIHEAP eligibility criterion was incorporated with this resource.	N/A
14	Salvation Army - Project SHARE	Fuel fund providing benefits within the LIHEAP program statewide. Project SHARE provides benefits to households who have already been assisted by LIHEAP but are still in a crisis situation or applicant has gone to a Community Action Agency (CAA) first and the CAA has no funding available, only benefits to LIHEAP eligible households are counted.	A
15	SemStream Arizona Propane	This resource provides utility bill assistance for low income households with SemStream Arizona propane service territory.	A
16	Southwest Gas (SWG) Corporation's Low Income Rate Assistance Program (LIRA)	LIRA provides a 30 percent reduction on the per therm rate applied to the first 150 therms of natural gas used each month from November 1 through April 30 and on the service establishment and/or reestablishment charge year round.	N/A
17	SWG's Low Income Energy Conservation	SWG provides funding to Community Action Agencies (CAA) to meet the energy affordability needs of low income customers through a coordinated partnership. CAAs serving SWG territory will coordinate and deliver the program elements in conjunction with their existing activities for the Weatherization and LIHEAP programs.	A
18	SWG's Donated Water Heaters	SWG donated hot water heaters to be installed in low income households. Households are assessed on energy consumption and condition of unit, LIHEAP/WAP criteria is used to determine eligibility.	A
19	Tucson Electric Power (TEP)'s HERO's Help with Emergency Relief Operation	Fuel fund providing benefits within the LIHEAP program in the Tucson area. LIHEAP provider agencies take applications and eligibility criteria are the same.	A
		Provides a discount to low income households at 150 percent based on electricity	

20	TEP À LIFELINE Discount Program	usage for each month. The CAAs take applications and assist clients through the application process.	D
21	TEP Weatherization	TEP funds to provide weatherization services, specifically designed to lower energy burden for qualified homeowners.	D
22	Unisource Energy Services	Provides a discount to households based on electric usage for each month. Households are at 150 percent of poverty.	D
23	Unisource Energy Services À Customers Assistance Residential Energy Support Program-Gas	Home energy discounts that reduce low income households utility bills.	D
24	Unisource Energy Services À Weatherization Program	UniSource Energy Services funds cover weatherization strategies specifically designed to lower energy burden for qualified homeowners, and are leveraged/combined with other funding sources for comprehensive home repairs.	G
25	Warm Spirit	Unisource Energy Services-Gas and Electric DivisionÀs collect donations from customers and businesses to provide utility assistance to low income households.	D
26	Arizona Utility Companies: APS; SRP; Unisource Energy Services; TEP; SWG; and City of Mesa Electric, Gas and Water Company	These companies provide a wide variety of resources that may include discounts, donated utility related appliances and funds to assist low income households with utility assistance payments and/or weatherization benefits.	N/A

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

Section 15 - Training

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

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

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

Section 15: Training

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

**a. Grantee Staff:**

Formal training on grantee policies and procedures

How often?

Annually

Biannually

As needed

Other - Describe:

Employees are provided with policy manual

Other-Describe:

Arizona Department of Economic Security LIHEAP Staff receives formal training from the Office of Community Services and National Energy Assistance Directors Association.

**b. Local Agencies:**

Formal training conference

How often?

Annually

Biannually

As needed

Other - Describe: The Arizona Department of Economic Security provides LIHEAP training on a quarterly basis via webinars. Service Providers also attend various OCS and other LIHEAP training via conferences at their discretion.

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:**

Vendors are provided with current LIHEAP Policy Manuals. Questions and concerns are communicated verbally and via email.

**15.2 Does your training program address fraud reporting and prevention?**

Yes

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

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

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

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

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

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

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

Arizona will continue to provide data to meet the required performance goals and measures for the upcoming fiscal year. A Statewide database system is being considered. Required performance goals and measures will continue to be provided with the current method of collecting data from service providers, aggregating the data utilizing Excel spreadsheets and/or service provider functioning database systems. The State is working closely with OCS' federal contractor regarding the LIHEAP Performance Measures to develop a comprehensive spreadsheet and methodology for collecting the new information.

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

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

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

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

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

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

17.1 Fraud Reporting Mechanisms

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

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

A dedicated fraud reporting hotline is in place for state wide fraud abuse and is not specific to LIHEAP.

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

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

17.2. Identification Documentation Requirements

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

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

		Required	Requested	Required	Requested	Required	Requested
1	Other documents that State uses for identification verification are; wage stubs, work and school identification cards, Arizona State Driver's License and identification cards, birth certificates, birth records, Certificates of Indian Blood (CIBs), tribal identification cards, housing authority (section 8) documents, social security cards and documents, family census cards, health benefit identification cards, social service program documents or cards, passports, legal permanent residence documents, tax returns and voter registration cards.	✓		✓		✓	

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

Some Service Providers verify SSNs with the State eligibility/management system (e.g. SNAP, TANF).

**17.3 Identification Verification**

**Describe what methods are used to verify the authenticity of identification documents provided by clients or household members. Select all that apply**

Verify SSNs with Social Security Administration

Match SSNs with death records from Social Security Administration or state agency

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

Match with state Department of Labor system

Match with state and/or federal corrections system

Match with state child support system

Verification using private software (e.g., The Work Number)

In-person certification by staff (for tribal grantees only)

Match SSN/Tribal ID number with tribal database or enrollment records (for tribal grantees only)

Other - Describe:

Some Service Providers verify SSNs with the State eligibility/management system (e.g. SNAP, TANF).

**17.4. Citizenship/Legal Residency Verification**

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

Clients sign an attestation of citizenship or legal residency

Client's submission of Social Security cards is accepted as proof of legal residency

Noncitizens must provide documentation of immigration status

Citizens must provide a copy of their birth certificate, naturalization papers, or passport

Noncitizens are verified through the SAVE system

Tribal members are verified through Tribal enrollment records/Tribal ID card

Other - Describe:

**17.5. Income Verification**

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

Require documentation of income for all adult household members

Pay stubs

Social Security award letters

Bank statements

Tax statements

Zero-income statements

Unemployment Insurance letters

Other - Describe:

Unearned income verification, require documentation of income for all adult household members and persons age 16 or above who are not full-time students.

Computer data matches:

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

Proof of unemployment benefits verified with state Department of Labor

Social Security income verified with SSA

Utilize state directory of new hires

Other - Describe:

17.6. Protection of Privacy and Confidentiality

Describe the financial and operating controls in place to protect client information against improper use or disclosure. Select all that apply.

Policy in place prohibiting release of information without written consent

Grantee LIHEAP database includes privacy/confidentiality safeguards

Employee training on confidentiality for:

Grantee employees

Local agencies/district offices

Employees must sign confidentiality agreement

Grantee employees

Local agencies/district offices

Physical files are stored in a secure location

Other - Describe:

17.7. Verifying the Authenticity

What policies are in place for verifying vendor authenticity? Select all that apply.

All vendors must register with the State/Tribe.

All vendors must supply a valid SSN or TIN/W-9 form

Vendors are verified through energy bills provided by the household

Grantee and/or local agencies/district offices perform physical monitoring of vendors

Other - Describe and note any exceptions to policies above:

17.8. Benefits Policy - Gas and Electric Utilities

What policies are in place to protect against fraud when making benefit payments to gas and electric utilities on behalf of clients? Select all that apply.

Applicants required to submit proof of physical residency

Applicants must submit current utility bill

Data exchange with utilities that verifies:

Account ownership

Consumption

Balances

Payment history

Account is properly credited with benefit

Other - Describe:

Centralized computer system/database tracks payments to all utilities

Centralized computer system automatically generates benefit level

Separation of duties between intake and payment approval

Payments coordinated among other energy assistance programs to avoid duplication of payments
<input checked="" type="checkbox"/> Payments to utilities and invoices from utilities are reviewed for accuracy
Computer databases are periodically reviewed to verify accuracy and timeliness of payments made to utilities
<input checked="" type="checkbox"/> Direct payment to households are made in limited cases only
Procedures are in place to require prompt refunds from utilities in cases of account closure
Vendor agreements specify requirements selected above, and provide enforcement mechanism
<input checked="" type="checkbox"/> Other - Describe: Some Service Providers utilize computer databases to periodically review to verify accuracy and timeliness of payments made to utilities.

**17.9. Benefits Policy - Bulk Fuel Vendors**

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

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

**17.10. Investigations and Prosecutions**

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

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

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

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

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

Instructions for Certification

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

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

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

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

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

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

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

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

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

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

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

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

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

### Instructions for Certification

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

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

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

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

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

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

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

Section 19: Certification Regarding Drug-Free Workplace Requirements

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

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

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

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

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

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

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

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

#### Certification Regarding Drug-Free Workplace Requirements

##### Alternate I. (Grantees Other Than Individuals)

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

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

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

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

1789 W. Jefferson  
**\* Address Line 1**

Address Line 2

Address Line 3

Phoenix  
**\* City**

AZ  
**\* State**

85007  
**\* Zip Code**

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

**Alternate II. (Grantees Who Are Individuals)**

**(a) The grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant;**

**(b) If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, he or she will report the conviction, in writing, within 10 calendar days of the conviction, to every grant officer or other designee, unless the Federal agency designates a central point for the receipt of such notices. When notice is made to such a central point, it shall include the identification number(s) of each affected grant.**

**[55 FR 21690, 21702, May 25, 1990]**

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

**Section 20: Certification Regarding Lobbying**

**The submitter of this application certifies, to the best of his or her knowledge and belief, that:**

**(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.**

**(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions**

**(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.**

**Statement for Loan Guarantees and Loan Insurance**

**The undersigned states, to the best of his or her knowledge and belief, that:**

**If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.**

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

Assurances

Assurances

**(1) use the funds available under this title to--**

**(A) conduct outreach activities and provide assistance to low income households in meeting their home energy costs, particularly those with the lowest incomes that pay a high proportion of household income for home energy, consistent with paragraph (5);**

**(B) intervene in energy crisis situations;**

**(C) provide low-cost residential weatherization and other cost-effective energy-related home repair;and**

**(D)plan, develop, and administer the State's program under this title including leveraging programs, and the State agrees not to use such funds for any purposes other than those specified in this title;**

**(2) make payments under this title only with respect to--**

**(A) households in which one or more individuals are receiving--**

**(i)assistance under the State program funded under part A of title IV of the Social Security Act;**

**(ii) supplemental security income payments under title XVI of the Social Security Act;**

**(iii) food stamps under the Food Stamp Act of 1977; or**

**(iv) payments under section 415, 521, 541, or 542 of title 38, United States Code, or under section 306 of the Veterans' and Survivors' Pension Improvement Act of 1978; or**

**(B) households with incomes which do not exceed the greater of -**

**(i) an amount equal to 150 percent of the poverty level for such State; or**

**(ii) an amount equal to 60 percent of the State median income;**

(except that a State may not exclude a household from eligibility in a fiscal year solely on the basis of household income if such income is less than 110 percent of the poverty level for such State, but the State may give priority to those households with the highest home energy costs or needs in relation to household income.

(3) conduct outreach activities designed to assure that eligible households, especially households with elderly individuals or disabled individuals, or both, and households with high home energy burdens, are made aware of the assistance available under this title, and any similar energy-related assistance available under subtitle B of title VI (relating to community services block grant program) or under any other provision of law which carries out programs which were administered under the Economic Opportunity Act of 1964 before the date of the enactment of this Act;(4) coordinate its activities under this title with similar and related programs administered by the Federal Government and such State, particularly low-income energy-related programs under subtitle B of title VI (relating to community services block grant program), under the supplemental security income program, under part A of title IV of the Social Security Act, under title XX of the Social Security Act, under the low-income weatherization assistance program under title IV of the Energy Conservation and Production Act, or under any other provision of law which carries out programs which were administered under the Economic Opportunity Act of 1964 before the date of the enactment of this Act;(5) provide, in a timely manner, that the highest level of assistance will be furnished to those households which have the lowest incomes and the highest energy costs or needs in relation to income, taking into account family size, except that the State may not differentiate in implementing this section between the households described in clauses 2(A) and 2(B) of this subsection;

(6) to the extent it is necessary to designate local administrative agencies in order to carry out the purposes of this title, to give special consideration, in the designation of such agencies, to any local public or private nonprofit agency which was receiving Federal funds under any low-income energy assistance program or weatherization program under the Economic Opportunity Act of 1964 or any other provision of law on the day before the date of the enactment of this Act, except that -

(A) the State shall, before giving such special consideration, determine that the agency involved meets program and fiscal requirements established by the State; and

(B) if there is no such agency because of any change in the assistance furnished to programs for economically disadvantaged persons, then the State shall give special consideration in the designation of local administrative agencies to any successor agency which is operated in substantially the same manner as the predecessor agency which did receive funds for the fiscal year preceding the fiscal year for which the determination is made;

(7) if the State chooses to pay home energy suppliers directly, establish procedures to --

**(A) notify each participating household of the amount of assistance paid on its behalf;**

**(B) assure that the home energy supplier will charge the eligible household, in the normal billing process, the difference between the actual cost of the home energy and the amount of the payment made by the State under this title;**

**(C) assure that the home energy supplier will provide assurances that any agreement entered into with a home energy supplier under this paragraph will contain provisions to assure that no household receiving assistance under this title will be treated adversely because of such assistance under applicable provisions of State law or public regulatory requirements; and**

**(D) ensure that the provision of vendor payments remains at the option of the State in consultation with local grantees and may be contingent on unregulated vendors taking appropriate measures to alleviate the energy burdens of eligible households, including providing for agreements between suppliers and individuals eligible for benefits under this Act that seek to reduce home energy costs, minimize the risks of home energy crisis, and encourage regular payments by individuals receiving financial assistance for home energy costs;**

**(8) provide assurances that,**

**(A) the State will not exclude households described in clause (2)(B) of this subsection from receiving home energy assistance benefits under clause (2), and**

**(B) the State will treat owners and renters equitably under the program assisted under this title;**

**(9) provide that--**

**(A) the State may use for planning and administering the use of funds under this title an amount not to exceed 10 percent of the funds payable to such State under this title for a fiscal year; and**

**(B) the State will pay from non-Federal sources the remaining costs of planning and administering the program assisted under this title and will not use Federal funds for such remaining cost (except for the costs of the activities described in paragraph (16));**

**(10) provide that such fiscal control and fund accounting procedures will be established as may be necessary to assure the proper disbursement of and accounting for Federal funds paid to the State under this title, including procedures for monitoring the assistance provided under this title, and provide that the State will comply with the provisions of chapter 75 of title 31, United States Code (commonly known as the "Single Audit Act");**

**(11) permit and cooperate with Federal investigations undertaken in accordance with section 2608;**

**(12) provide for timely and meaningful public participation in the development of the plan described in subsection (c);**

**(13) provide an opportunity for a fair administrative hearing to individuals whose claims for assistance under the plan described in subsection (c) are denied or are not acted upon with reasonable promptness; and**

**(14) cooperate with the Secretary with respect to data collecting and reporting under section 2610.**

**(15) \* beginning in fiscal year 1992, provide, in addition to such services as may be offered by State Departments of Public Welfare at the local level, outreach and intake functions for crisis situations and heating and cooling assistance that is administered by additional State and local governmental entities or community-based organizations (such as community action agencies, area agencies on aging and not-for-profit neighborhood-based organizations), and in States where such organizations do not administer functions as of September 30, 1991, preference in awarding grants or contracts for intake services shall be provided to those agencies that administer the low-income weatherization or energy crisis intervention programs.**

**\* This assurance is applicable only to States, and to territories whose annual regular LIHEAP allotments exceed \$200,000. Neither territories with annual allotments of \$200,000 or less nor Indian tribes/tribal organizations are subject to Assurance 15.**

**(16) use up to 5 percent of such funds, at its option, to provide services that encourage and enable households to reduce their home energy needs and thereby the need for energy assistance, including needs assessments, counseling, and assistance with energy vendors, and report to the Secretary concerning the impact of such activities on the number of households served, the level of direct benefits provided to those households, and the number of households that remain unserved.**

## Plan Attachments

### PLAN ATTACHMENTS

The following documents must be attached to this application

- **Delegation Letter is required if someone other than the Governor or Chairman Certified this Report.**
- **Heating component benefit matrix, if applicable**
- **Cooling component benefit matrix, if applicable**
- **Minutes, notes, or transcripts of public hearing(s).**