

DETAILED MODEL PLAN (LIHEAP)

Mandatory Grant Application SF-424

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

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

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

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

7. APPLICANT INFORMATION

* a. Legal Name: State of Missouri			
* b. Employer/Taxpayer Identification Number (EIN/TIN): 1-446000987-B6		* c. Organizational DUNS: 780870267	
* d. Address:			
* Street 1:	MISSOURI ENERGY ASSISTANCE UNIT	Street 2:	P.O. BOX 2320
* City:	JEFFERSON CITY	County:	Cole
* State:	MO	Province:	
* Country:	United States	* Zip / Postal Code:	65102-2320

e. Organizational Unit:

Department Name: Social Services	Division Name: Family Support Division
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f. Name and contact information of person to be contacted on matters involving this application:

Prefix:	* First Name: Heather	Middle Name:	* Last Name: Jones
Suffix:	Title: Social Service Manager Band 1	Organizational Affiliation:	
* Telephone Number: 573 526-0677	Fax Number: 573 522-9557	* Email: Heather.Jones@dss.mo.gov	

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

b. Additional Description:

* 9. Name of Federal Agency:

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

11. Descriptive Title of Applicant's Project

12. Areas Affected by Funding:

13. CONGRESSIONAL DISTRICTS OF:

* a. Applicant 3	b. Program/Project: State wide
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Attach an additional list of Program/Project Congressional Districts if needed.

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

Section 1 - Program Components

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

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

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

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

Section 1 Program Components

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

1.1 Check which components you will operate under the LIHEAP program. (Note: You must provide information for each component designated here as requested elsewhere in this plan.)		Dates of Operation	
		Start Date	End Date
✓	Heating assistance	10/01/2014	03/31/2015
	Cooling assistance		
✓	Crisis assistance	10/01/2014	09/30/2015
✓	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	45.00%
Cooling assistance	0.00%
Crisis assistance	25.00%
Weatherization assistance	10.00%
Carryover to the following federal fiscal year	10.00%
Administrative and planning costs	10.00%
Services to reduce home energy needs including needs assessment (Assurance 16)	0.00%
Used to develop and implement leveraging activities	0.00%
TOTAL	100.00%

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

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

	Heating assistance		Cooling assistance
	Weatherization assistance	<input checked="" type="checkbox"/>	Other (specify:) Winter Crisis funds through May 31 (Subject to availability of funds). Beginning June 1, any Winter Crisis funds not expended are reprogrammed to Summer Crisis.

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

1.4 Do you consider households categorically eligible if 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

<input type="checkbox"/>	Once Per Year
<input type="checkbox"/>	Once every five years
<input type="checkbox"/>	Other - Describe:

1.7d How do you confirm that the household receiving a nominal payment has an energy cost or need?

Determination of Eligibility - Countable Income

1.8. In determining a household's income eligibility for LIHEAP, do you use gross income or net income ?

<input checked="" type="checkbox"/>	Gross Income
<input type="checkbox"/>	Net Income

1.9. Select all the applicable forms of countable income used to determine a household's income eligibility for LIHEAP

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

	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.)
✓	<p>Other</p> <p>Sheltered Workshop</p> <p>Supported Employment (administered by the Division of Vocational Rehabilitation)</p> <p>Roomer/Boarder Income</p> <p>Conservation Reserve Program (CRP)</p> <p>Royalties</p> <p>Adoption Subsidies</p> <p>Armed Forces Allotment</p> <p>Black Lung</p> <p>Blind Pension</p> <p>Disability payments through private insurance company or employer sponsored</p> <p>Installment Payments</p> <p>Railroad Retirement Benefits</p> <p>Strike Benefits</p> <p>Supplemental Aid to the Blind</p> <p>Supplemental State Payments</p> <p>Workman's Compensation</p> <p>Support from an individual(s) outside the LIHEAP household including contributions, personal loans, stipends and allotments from nursing homes</p> <p>Other payments for Services Rendered</p>

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

Section 2 - HEATING ASSISTANCE

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
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Section 2 - Heating Assistance

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

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

Add	Household size	Eligibility Guideline	Eligibility Threshold
1	All Household Sizes	HHS Poverty Guidelines	135.00%

2.2 Do you have additional eligibility requirements for HEATING ASSISTANCE? Yes

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

Do you require an Assets test ? Yes

Do you have additional/differing eligibility policies for:

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

Do you give priority in eligibility to:

Elderly?	Yes
Disabled?	Yes
Young children?	No
Households with high energy burdens ?	No
Other? See Explanation Policies Below	Yes

Explanations of policies for each "yes" checked above:

LIHEAP eligibility is based on four (4) main areas:

Citizenship and Permanent Legal Resident Status - A household member(s) must be a citizen of the United States or be admitted to this country for permanent residence.

Resources - Each household's resources may not exceed \$3,000.

Responsibility for Heating/Cooling Costs - Each household must establish they have an account in their name or meet the definition of a renter/landlord applicant and are incurring heating/cooling costs.

Income Based on Household Size - Each household must meet specified income guidelines (135% of the federal poverty level) based on their household size.

Renters: Individuals living in rental property and who are paying a home energy supplier directly for their heating costs receive the same benefit as a similarly situated homeowner.

Renters living in Subsidized Housing: Households residing in public subsidized housing with utilities included as an undesignated portion of their monthly rent, provided they can document they are paying energy costs over and above the utility allowance included in their regular monthly rental charge.

Renters Utilities included in the Rent: Households with heating costs included as undesignated portion of their monthly rental charge receive a payment equal to 8% of their annual rental costs or the amount they would receive as a home owner, whichever is less.

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.

Applications for households with a household member(s) that is elderly and/or disabled are mailed and accepted for processing each year in the month of October, one month prior to official program beginning. The official program beginning date is November of each year.

A \$100 medical deduction is automatically given to households in which the applicant or spouse is elderly (age 65 or older) or disabled. Only one (1) \$100 deduction will be allowed, even if both applicant and spouse meet either or both criteria.

Energy Assistance (EA) benefits are determined based on each household meeting specified income guidelines (135% of the federal poverty level) based on their household size and fuel type.

Our attached payment matrices indicates compliance with this assurance by virtue of the fact that benefit amounts decrease as income increases to reflect the household's energy costs in relation to their income.

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

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

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

2.6 Describe estimated benefit levels for FY 2015:

Minimum Benefit	\$45	Maximum Benefit	\$450
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2.7 Do you provide in-kind (e.g., blankets, space heaters) and/or other forms of benefits? No

If yes, describe.

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

Section 3 - COOLING ASSISTANCE

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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			0.00%

3.2 Do you have additional eligibility requirements for COOLING ASSISTANCE?

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

Do you require an Assets test ?

Do you have additional/differing eligibility policies for:

Renters?

Renters Living in subsidized housing ?

Renters with utilities included in the rent ?

Do you give priority in eligibility to:

Elderly?

Disabled?

Young children?

Households with high energy burdens ?

Other?

Explanations of policies for each "yes" checked above:

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

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

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

Income

Family (household) size

Home energy cost or need:

Fuel type

Climate/region

Individual bill

Dwelling type

Energy burden (% of income spent on home energy)

Energy need

Other - Describe:

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

3.6 Describe estimated benefit levels for FY 2015:

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

If yes, describe.

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

Section 4 - CRISIS ASSISTANCE

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

Section 4: CRISIS ASSISTANCE

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

4.1 Designate the income eligibility threshold used for the crisis component

Add	Household size	Eligibility Guideline	Eligibility Threshold
1	All Household Sizes	HHS Poverty Guidelines	135.00%

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

The Energy Crisis Intervention Program (ECIP) is designed to provide financial assistance to households in a verifiable energy crisis. This crisis is defined as receipt of termination or disconnect notice indicating a specific disconnect date; a final billing statement advising the account has been terminated; if they are a cash on delivery (COD) customer, when the propane tank is filled at less than 20% capacity, and when a pre-paid electric customer indicates their pre-paid usage is about to run out.

4.3 What constitutes a life-threatening crisis?

A household currently without energy services that could impact:

An illness or medical condition that poses an immediate risk to the health or life of any LIHEAP household member due to a life-threatening medical condition. Medical statement required; or

When a life threatening medical condition is sustained by the use of a medical device which requires the use of a source of energy for operation. Medical statement required. Reasonable exclusions: Carbon Monoxide Detectors, Smoke Alarms, other devices not medically required to support life. The reasonable exclusions listed are not all inclusive.

Crisis Requirement, 2604(c)

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

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

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

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

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

Do you require an Assets test ? Yes

Do you give priority in eligibility to :

Elderly?	Yes
Disabled?	Yes
Young Children?	No
Households with high energy burdens?	No
Other? See Explanation of Policies Below	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 ?	No
Must heating/cooling be medically necessary?	No

Must the household have non-working heating or cooling equipment?	No
Other? The household is cash on delivery (COD) customer. The pre-paid electric customer indicates their pre-paid usage is about to run out.	Yes
Do you have additional / differing eligibility policies for:	
Renters?	No
Renters living in subsidized housing?	Yes
Renters with utilities included in the rent?	Yes
Explanations of policies for each "yes" checked above:	
<p>According to Missouri's LIHEAP, there are no additional eligibility requirements for heating assistance; however, in order to receive a window air conditioner unit, there is an age restriction and medical necessity may be required. The policy is written as follows:</p> <p>A household that is LIHEAP eligible must have a member who is sixty-five (65) or older or have any household member that has a letter from a qualified physician or nurse practitioner stating that a life-threatening condition exists where an air conditioner will eliminate or significantly reduce the possibility of loss of life or heat-related illness. The letter does not have to include the diagnosis or condition; it only has to indicate there is a need for air conditioning.</p> <p>LIHEAP eligibility is based on four (4) main areas:</p> <p>Citizenship and Permanent Legal Resident Status - A household member(s) must be a citizen of the United States or be admitted to this country for permanent residence.</p> <p>Resources - Each household's resources may not exceed \$3,000.</p> <p>Responsibility for Heating/Cooling Costs - Each household must establish they have an account in their name or meet the definition of a renter/landlord applicant and are incurring heating/cooling costs. Applicants for the Energy Crisis Intervention Program (ECIP) component must additionally have received a notice of termination or services have already been terminated. Renters whose heating/cooling costs are included in their rent are not eligible to receive ECIP benefits. Landlord cases, when the landlord sends a fuel bill to the renter, are eligible to receive ECIP benefits as long as the Contracted Agency receives in writing from the landlord that the applicant's service is threatened or terminated. This information should be documented.</p> <p>Income Based on Household Size - Each household must meet specified income guidelines (135% of the federal poverty level) based on their household size.</p> <p>In addition:</p> <p>Applications are mailed and accepted for Elderly and/or Disabled during each year in the month of October, one month prior to official program beginning.</p> <p>A \$100 medical deduction is automatically given to household in which the applicant or spouse is elderly (age 65 or older) or disabled. Only one \$100 deduction will be allowed, even if both applicant and spouse meet either or both criteria.</p> <p>Renter households are not eligible for ECIP.</p>	
Determination of Benefits	
4.8 How do you handle crisis situations?	
<input checked="" type="checkbox"/>	Separate component
<input type="checkbox"/>	Fast Track
<input type="checkbox"/>	Other - Describe:
4.9 If you have a separate component, how do you determine crisis assistance benefits?	
<input type="checkbox"/>	Amount to resolve the crisis.
<input checked="" type="checkbox"/>	Other - Describe: Amount to resolve the crisis, not to exceed \$800 for Winter ECIP and \$300 for Summer ECIP.
Crisis Requirements, 2604(c)	
4.10 Do you accept applications for energy crisis assistance at sites that are geographically accessible to all households in the area to be served?	
Yes Explain.	
Each of Missouri's nineteen (19) Contract Agencies provides access to services at a set number of counties. Missouri has 114 counties and the City of St. Louis which all are covered by the nineteen (19) Contract Agencies.	
4.11 Do you provide individuals who are physically disabled the means to:	
Submit applications for crisis benefits without leaving their homes?	
Yes If No, explain.	
Travel to the sites at which applications for crisis assistance are accepted?	
Yes If No, explain.	

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

Households may access the LIHEAP website directly, download and print. (On-line submission is not available). Applications, including supporting documentation, may be mailed or faxed to the Contract Agency that services the county the applicant lives in. "Where to Mail Your Application" is included with the printed LIHEAP application. NOTE: Not all agencies accept faxed applications.

Home visits to take an application for services, will be made within thirty (30) days of the request when a valid reason exists. The decision regarding the necessity of a home visit will be made by the agencies LIHEAP Manager.

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

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

Winter Crisis \$800 maximum benefit

Summer Crisis \$300 maximum benefit

Year-round Crisis \$0 maximum benefit

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

Yes If yes, Describe

Emergency Services can be provided to protect the health and safety of the household when other forms of assistance under LIHEAP will not resolve the energy related crisis. Applicants must be LIHEAP eligible in order to receive Emergency Services. Emergency Services funding comes from ECIP Direct Service dollars. Recipients of ECIP funding are not entitled to direct payments. If an Emergency Service is provided, the household will not be reimbursed if they pay out of pocket in advance. Contracted Agencies are allowed to utilize no more than 2% of the Direct Service funding if they choose to provide Emergency Services as part of their LIHEAP services. This funding for Emergency needs is: Blanket purchases, Emergency Lodging, Air Conditioner Window Units, Wood Stoves, Furnace and Central Air Replacement or Repairs. Funding used for Emergency Services are deducted from the ECIP Direct minimum of \$800 for Winter ECIP and \$300 for Summer ECIP.

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

Yes

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

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

	Winter Crisis	Summer Crisis	Year-round Crisis
Heating system repair	✓		
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): Furnace and Central Air replacement or repairs are part of the Emergency Services that an agency can provide. Emergency Services funding comes from ECIP Direct Service dollars. Recipients of ECIP funding are not entitled to direct payments. If an Emergency Service is provided, the household will not be reimbursed if they pay out of pocket in advance. Contracted Agencies are allowed to utilize no more than 2% of the Direct Service funding if they choose to provide Emergency Services as part of their LIHEAP services. Additional funding up to \$400 can be applied to furnace and central air replacement or repairs for applicants eligible for LIHEAP. (The additional \$400 will not be utilized for additional payment on a households energy bill). Funding used for Emergency Services are deducted from the ECIP Direct minimum of \$800 for Winter ECIP and \$300 for Summer ECIP. The additional \$400 cannot be accessed until the ECIP benefit maximum of \$800 for Winter ECIP and \$300 for Summer ECIP has been exhausted. Emergency Services also provides Blankets and Emergency Lodging under Winter Crisis.	✓		

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

Yes

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

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

The Missouri Public Service Commission (PSC) established a Cold Weather Rule (CWR) for Missouri's investor owned utilities. The CWR prohibits the disconnection of heat-related services and allows customers to make a payment arrangement when the temperature is forecasted to drop below thirty-two (32) degrees. The time period covered under the CWR is November 1 through March 31 of each year. Households that do not honor the payment arrangements made will be subject to disconnect once the temperature is above thirty-two (32) degrees or beginning in April; whichever comes first.

Missouri State Statute addresses time periods which prohibit the termination of energy services to customers when certain extreme heat conditions are forecasted to exceed ninety-five (95) degrees. The statute applies to both regulated and non-regulated energy vendors. The time period covered under the Hot Weather Statute is June 1 through September 30. Households will be subject to disconnect once the temperature is below ninety-five (95) degrees or beginning in October; whichever comes first.

Should an applicant present proof a crisis exists for purposes of receiving ECIP funds, the Contract Agency should verify with the energy provider whether the service will be terminated or is actually terminated or whether the service will continue due to the CWR or Hot Weather Statute. If the service remains on due to one of these rules, the 18/48 hour requirements do not begin until the day after the service will actually be disconnected. The Contract Agency should not assume the CWR or Hot Weather Statute are in place just because the timing falls between the moratorium time periods.

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

Section 5 - WEATHERIZATION ASSISTANCE

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 MODEL PLAN
 SF - 424 - MANDATORY**

Section 5: WEATHERIZATION ASSISTANCE

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

5.1 Designate the income eligibility threshold used for the Weatherization component

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

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

5.3 If yes, name the agency. Missouri Department of Economic Development.

5.4 Is there a separate monitoring protocol for weatherization? Yes

WEATHERIZATION - Types of Rules

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

Entirely under LIHEAP (not DOE) rules

Entirely under DOE WAP (not LIHEAP) rules

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

Income Threshold

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

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

Other - Describe:

Weatherization has their own fiscal and technical monitoring protocols.

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

Income Threshold

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

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

Other - Describe:

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 Yes

Renters living in subsidized housing? Yes

5.8 Do you give priority in eligibility to:

Elderly? Yes

Disabled? Yes

Young Children? Yes

House holds with high energy burdens? Yes

Other? Each sub grantee has the option to use this criteria; however, if they do use this Yes

criteria, they must apply it to all households.

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.

The renter's landlord must sign a "Landlord Agreement Form" and provide a minimum of 5% cash contribution of the estimated cost to weatherize the unit before weatherization work can begin. For buildings of five or more units under one roof, the landlord must contribute a minimum of 25% cash contribution of the estimated cost to weatherize the units before weatherization work can begin.

Automatic DOE WAP eligibility is allowed for clients living in multi-family properties that have been determined to meet certain eligibility criteria through the United States Department of Housing and Urban Development and the United States Department of Agriculture.

Benefit Levels

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

5.10 If yes, what is the maximum? \$6,987

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	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	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"/> Other - Describe: Minimal Roof Repair, Major Appliance Replacement is Refrigerators, Windows must be cost effective, but no sliding doors, door installation limited to exterior doors and must be cost effective, Mechanical ventilation (Exhaust Fans) Minor moisture repair and Duct sealing and Duct Insulation.

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):

Regulated home energy providers are required to provide inserts with billing notices for the program.

Regarding mass mailings, the applicant is responsible for completing, signing, attaching required documentation, and returning the application to the Contract Agency designated to process their application for services.

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

Section 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.).

	Joint application for multiple programs
	Intake referrals to/from other programs
	One - stop intake centers
✓	Other - Describe:

All programs, with the exception of TITLE VI of the Energy Conservation Act, are administered by the Department of Social Services (DSS) or through contractual arrangements with the nineteen (19) Contract Agencies throughout the state. Eighteen of which are Community Action Agencies (CAA) and one (1) being the Urban League of Metropolitan St. Louis; a non-profit organization. CAA's are sub-grantees for the Community Services Block Grant (CSBG), Head Start, distribute USDA surplus commodities to low income households, administer programs for Missouri's homeless population, administer the Energy Crisis Intervention Program (ECIP) component of LIHEAP, and the intake and eligibility determination functions for the Energy Assistance (EA) component of LIHEAP. This list is not inclusive of all the services provided. The Urban League of Metropolitan St. Louis covers many of the same functions as the CAA's, a primary exception being the CSBG.

All nineteen (19) Contract agencies also provide information services through contractual agreements with the Missouri Department of Economic Development for Weatherization services. Missouri's LIHEAP generates a Non-Weatherization printout and shares this with all nineteen (19) Contract Agencies.

DSS Family Support Division (FSD) Income Maintenance (IM), who administers TANF, Food Stamps and MO HealthNet (Medicaid) is establishing resource centers where clients can come in person to receive services. Resource center staff will assist us in their communities by working closely with community partners to provide wrap-around services for the families we serve including providing information concerning LIHEAP.

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

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

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

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

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

Participating in the Missouri Public Service Commission's campaign to educate households on the seasons rising utility costs and how each household can conserve and take action of their usage and bills. MO BEE (Bee Energy Efficient) will be utilized with state departments and community agencies. Contract agencies are working on outreach efforts through back to school fairs and energy conservation fairs. Some Contract Agencies have home energy suppliers and other social service agencies such as the American Association of Retired Person (AARP), United Way, Catholic Charities, Salvation Army, 211(through United Way), etc. involved with providing outreach and assistance for low-income citizens.

Contract Agencies provide articles for faith-based organizations, media, local schools, and outreach/education programs sponsored by the Public Service Commission (PSC) and Department of Economic Development. Poverty Simulations are provided by agencies which involve local merchants, social service agencies, Chamber of Commerce, local and state government staff.

Provide intake service through home visits or by telephone for the physically infirm (i.e. elderly or disabled).

The State of Missouri LIHEAP Website provides a link titled, "LIHEAP Information". This takes the user to information regarding the Missouri LIHEAP.

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?

Participating in the Missouri Public Service Commission's campaign to educate households on the seasons rising utility costs and how each household can conserve and take action of their usage and bills. MO BEE (Bee Energy Efficient) will be utilized with state departments and community agencies. Contract agencies are working on outreach efforts through back to school fairs and energy conservation fairs. Some Contract Agencies have home energy suppliers and other social service agencies such as the American Association of Retired Person (AARP), United Way, Catholic Charities, Salvation Army, 211(through United Way), etc. involved with providing outreach and assistance for low-income citizens.

Contract Agencies provide articles for faith-based organizations, media, local schools, and outreach/education programs sponsored by the Public Service

Commission (PSC) and Department of Economic Development. Poverty Simulations are provided by agencies which involve local merchants, social service agencies, Chamber of Commerce, local and state government staff.

Provide intake service through home visits or by telephone for the physically infirm (i.e. elderly or disabled).

The State of Missouri LIHEAP Website provides a link titled, "LIHEAP Information". This takes the user to information regarding the Missouri LIHEAP.

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

If any of your LIHEAP components are not centrally-administered by a state agency, you must complete questions 8.6, 8.7, 8.8, and, if applicable, 8.9.

8.6 What is your process for selecting local administering agencies?

Missouri will continue to contract with the eighteen (18) CAA's and with the Urban League of Metropolitan St. Louis. In the event a Contract Agency is unavailable within a specific geographic area, DSS will select an appropriate non-profit community-based social service agency to administer the LIHEAP.

8.7 How many local administering agencies do you use? 19

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 Yes

Cooling

Crisis Yes

Are there exceptions? Yes

If yes, Describe.

Direct payments to an applicant will only be made under the following conditions:

- The Energy Supplier has not signed a Contractual Agreement with the State of Missouri to participate in the LIHEAP.
- The Energy Supplier refuses to serve a particular account holder.
- The Energy Supplier fails to accept or deny the LIHEAP payment by the required thirty calendar (30) day deadline.
- Applicant's home energy heat cost is included as an undesignated portion of their regular monthly rental charge.
- Applicant pays a landlord for the home energy heat cost that is not included in their rental agreement.
- Cylinder Propane is used as the home energy heat source.
- Kerosene is used as the home energy heat source.
- Wood/Wood Pellets/Corn Pellets are used as the home energy heat source.

In these circumstances, the applicant is responsible for making the payment and negotiating directly with the Energy Supplier to resolve their energy bill.

Should there be a need for additional assistance when a crisis exists, the Contract Agency must work with the Energy Supplier to determine how much is needed to maintain or restore services for at least thirty (30) days up to a maximum of \$800 for Winter Crisis and \$300 for Summer Crisis. The Energy Supplier must have a Contractual Agreement with the Department of Social Services (DSS) or the Contract Agency in order to provide a payment to the Energy Supplier because direct payments will not be made to the applicant for Energy Crisis Intervention Program (ECIP) payments.

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

Copies of the computer generated notification (EA-6) is included with the attachments. The EA-6 is mailed to the applicant when their application is determined eligible and updated to the eligibility file. The EA-6 advises the applicant of the Energy Assistance (EA) benefit amount as well as the name of the Energy Supplier who will be paid.

Copies of the computer generated notification (EA-7) is included with the attachments. The EA-7 is mailed to the applicant after payment has been made and advises the applicant of the date, amount of payment, and name of the Energy Supplier.

When an ECIP payment is made to the Energy Supplier, the Contract Agency sends a client notification letter to the applicant which advises the applicant of the date, amount of payment, and name of the Energy Supplier.

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?

A copy of the Low Income Home Energy Assistance Program (LIHEAP) Supplier Agreement between Missouri Department of Social Services, Family Support Division and Home Energy Supplier is included with the attachments.

Requirements in this document exceed those specified in statute and apply to all LIHEAP programs (EA and ECIP). A written agreement must be executed with Energy Suppliers prior to any payments being issued to them.

The Low Income Home Energy Assistance Program (LIHEAP) Supplier Agreement between Missouri Department of Social Services, Family Support Division and Home Energy Supplier Agreement Section 4.2.6 states, "Shall provide home energy fuels in the amount at least equivalent to the amount of pledge made by the State Agency on behalf of the eligible customer; restore and/or continue service during the service period covered by the payment for at least thirty (30) calendar days from the date of pledge made on behalf of the eligible customer for whom the Supplier has agreed to accept the LIHEAP pledge". In addition, Section 4.2.4 states in part, "Shall credit, through normal billing process, the full amount of the LIHEAP payment received to an eligible customer's account".

A random sample of the contracted Energy Suppliers is required to submit actual usage data on the previous year for every customer who receives payment from the LIHEAP.

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?

The Low Income Home Energy Assistance Program (LIHEAP) Supplier Agreement between Missouri Department of Social Services, Family Support Division and Home Energy Supplier Agreement Section 4.2.b.1 states, "Shall not discriminate with regard to the terms or conditions of sale, availability of credit, delivery or price of home energy fuels offered to eligible customers in relation to its other residential customers".

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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Expiration Date: 06/30/2017

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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?

All expenditures of LIHEAP funds are made available under policy, procedures, rules and regulations by the Missouri Office of Administration, Department of Social Services, Division of Financial and Administrative Services and the Missouri Treasurer's Office. No expenditures for heating assistance payments for the Energy Assistance (EA) component of LIHEAP are made unless:

- The eligibility of the program participant has been established and updated to the centralized computer file, which performs numerous edits to validate the accuracy of the determination and determines the amount of assistance to be paid;
- The home energy supplier who is to receive payment on behalf of the household has entered into an agreement to participate in LIHEAP and has been added to the automated file of participating home energy suppliers; and
- The payment to be made to the home energy supplier or the eligible household has been prepared through our automated check writing system which performs numerous edits to assure the accuracy of the payment and the eligibility of the home energy supplier or household to receive the payment.

Funds provided to the Contract Agencies for the Energy Crisis Intervention Program (ECIP) component of LIHEAP are subject to the following conditions:

- No funds are released to a Contract Agency unless a signed written agreement which stipulates the purpose(s) for which those funds are expended, as well as several other conditions governing the expenditures of these funds;
- Contract Agencies are required to submit monthly, as well as annual program/financial reports to document the expenditure of funds provided to them through LIHEAP;
- The State Auditor's Office audits the Family Support Division (FSD's) LIHEAP and makes the results of their audits available at <http://www.auditor.mo.gov>. These audits are scheduled and conducted by the State Auditor's Office (SAO) and are independent of DSS; and
- In accordance with Office of Management and Budget (OMB) Circular A-133 Audits of States, Local Governments, and Non-Profit Organizations, each Contract Agency secures an external audit in order to comply with the Single Audit Act of 1984. Copies of these audit reports are provided to the Department of Social Services, Family Support Division, LIHEAP Unit.

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	financial	CAPSTJOE: 2013-001 Material audit adjustments were required related to the organization's fixed asset records, due to not recording any depreciation, addition or disposal activity related to fixed assets during the fiscal year ending 2/28/13.	In Progress	procedure/policy changes
2	financial	CAPSTJOE: 2013-002 Material audit adjustments were required related to the organization's net assets from a prior year's audit.	In Progress	procedure/policy changes
3	financial	CAPSTJOE: 2013-003 Management does not review the accounts payable and bank reconciliations for completeness and accuracy each month.	In Progress	procedure/policy changes
4	reporting	CAPSTJOE: 2013-004 The organization does not have proper controls in place for approving expenditures charged to federal grants. Further, the organization does not maintain supporting documentation for all expenses charged	In Progress	training changes

		to federal grants for the CSBG program, LIHEAP, and CDBG program. Questioned cost \$251.		
5	reporting	CAPSTJOE: 2013-006 The organization is not properly maintaining documentation of verification and approval of participant income for the CSBG grant. Questioned cost \$349.	In Progress	procedure/policy changes
6	reporting	CAPSTJOE: 2013-007 The organization is not properly maintaining documentation to substantiate amounts reported in financial compliance reports for the CSBG grant.	In Progress	procedure/policy changes
7	financial	NMCAA: 2013-001 Reconciliations of balance sheet accounts found transactions that were improperly classified and/or not recorded at all. These balance sheet account reconciliations resulted in material amounts of general ledger adjustments posted after year end and through the date of the audit report.	In Progress	staffing/management changes
8	financial	NMCAA: 2013-002 During our testing of expenses of the organization, it was noted the organization charged expenses based upon funds available, or based on outdated cost allocation bases, or based on a signed indirect cost agreement, none of which were consistent on a month to month basis.	In Progress	staffing/management changes
9	financial	USCAA: 2013-01 USCAA's cash balance has been exceeding the Federal Deposit Insurance Corporation (FDIC) coverage limit at all times during the year. As of 9/30/13, the agency has more than \$2.5 million in Arvest Bank and the balance exceeding the FDIC limit was not collaterally secured which is significant enough to pose a concentration or risk	In Progress	procedure/policy changes
10	financial	USCAA: 2013-02 In 2007 USCAA had entered into an agreement with Renaissance Property Group, LLC (which was later sold to park Highlands Apartments) to provide administrative services. The administrative services include communicating the availability of the rental assistance to all of its clients, issue rental vouchers to tenants (from \$300,000 donated by Renaissance Property Group, LLC for this purpose), deposit and maintain a separate account to be used solely for rental assistance, and process all funding request and disburse funds from the bank. In consideration for its administrative services, USCAA was entitled to receive a fee of \$100 per lease per year (for leases originated by owner or its property manager) and \$200 per lease per year (for leases originated by the agency). The terms of the agreement required that Renaissance Property Group, LLC pay USCAA a fee, annually in arrears, by January 10 of each year out of Renaissance Property Group, LLC's funds, but not from \$300,000 originally donated. Renaissance Property Group, LLC was not invoiced for the administration fee during the duration of the agreement. In 2013 USCAA issued an invoice for \$15,619.34 to collect the service fee for fiscal years 2011 and 2012 from Park Highlands Apartments. The Park Highlands Apartments agreed to pay \$250.00 per month until the full amount of the fees are recovered. The receivable was not recorded in the books of USCAA. We proposed an adjustment to record the receivable.	In Progress	procedure/policy changes
		2013-03The executive director is entitled to \$3,000 car allowance as a benefit for		

11	financial	the use of personal vehicle for the company's businesses. According to the board's decision, the car allowance was given in lieu of the mileage driven for local travel in the metropolitan area and the state for business purposes. During our review of sample expenses, we noted that mileage charges in the metro area and within the state were reimbursed along with the car allowance. Further, there was no approval of mileage reimbursement documents by any designated board member or finance committee representative. During the year, an amount of \$1,860.31 in mileage reimbursement was paid in addition to the car allowance.	In Progress	procedure/policy changes
12	reporting	2013-04 During the fiscal year USCAA received advance funds in excess of \$3 million for Low Income Home Energy Assistance Program (LIHEAP); however, USCAA did not deposit the money in an interest bearing account.	In Progress	procedure/policy changes
13	reporting	2013-05 During the fiscal year USCAA provided assistance to a participant that claimed to have no income in the application form without securing the required self-declaration of zero income for the LIHEAP program.	In Progress	staffing/management changes
14	reporting	2013-06 During the fiscal year, USCAA provided assistance to a participant whose income exceeded the income limit for CSBG assistance.	In Progress	staffing/management 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.

A copy of the Low Income Home Energy Assistance Program On-Site Monitoring guide is included as an attachment.

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

Site Visits:

Missouri has nineteen (19) Contract Agencies. State staff performs on-site monitoring visits once every three (3) years. Special site visits are conducted prior to the three (3) year cycle when special circumstances exist.

Desk Reviews:

Missouri has nineteen (19) Contract Agencies. All Contract Agencies are required to send in a random sample of thirty (30) case reviews at the end of each program year which were completed by their agency's management staff for compliance with policy, procedure and timeframes. Grantee staff review five (5) of the thirty (30) cases to ensure accuracy of the completed case file reviews.

10.8. How often is each local agency monitored ?

Each Contract Agency is monitored on-site once every three (3) years on a rotating basis. Desk Reviews are completed annually at the end of each program year.

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

Six percent (6%)

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

Six percent (6%)

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? 11

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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 Expiration Date: 06/30/2017

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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:

- Committee to Keep Missourians Warm holds monthly meetings which include representation from the Department of Social Services, Department of Economic Development, Community Action Agencies and Non-Profit Agency, Public Service Commission, public service agencies, and energy suppliers;
- Feedback from LIHEAP customers through customer contact to discuss LIHEAP enhancements and changes;
- Notices for a public hearing on August 20, 2014, were placed in the St. Louis Post Dispatch, Kansas City Star, Columbia Daily Tribune, Springfield News Leader, and Jefferson City Tribune;
- Notices were posted on the bulletin boards at 615 Howerton Court, Jefferson City, Missouri, Missouri House and Senate Chambers, and all media boxes at the Missouri State Capitol;
- Distributed to the Public Service Commission (PSC) Consumer Division and Contract Agency Executive Directors; and
- LIHEAP Focus Group meetings which include representation from the Family Support Division LIHEAP and Contracted LIHEAP providers - ongoing to discuss LIHEAP.

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

No changes were made to the LIHEAP Plan.

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

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

	Date	Event Description
1	08/20/2014	James C. Kirkpatrick State Information Center SIC Interpretive Center, 600 West Main Street, Jefferson City, Missouri

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

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

Comments Presented by LIHEAP Contractors:

- Support the transfer of 10% from LIHEAP to the Low Income Weatherization Assistance Program (LIWAP).
- Recommend and encourage DSS to adopt this transfer of LIHEAP funding for future years as a permanent solution in helping families reduce their energy burden.
- Recommend that LIHEAP Crisis Assistance Program be funded at 30% of the total LIHEAP budget.

Comments Presented by Utility Company:

- Allocate LIHEAP funds proportionately to poverty levels among rural and urban counties by changing LIHEAP allocations to ensure the percentage of energy

assistance allocated to each county in the State is proportionate to the percentage of eligible households in each county.

- Ensure Energy Assistance (EA) payment(s) are applied to the primary heating source.
- Increase effectiveness and efficiencies by adopting pre-certification process for LIHEAP eligibility, and fairly spread the allocation of heating and cooling. FSD should include process of matching customers with utility company listing of accounts that are in threat of disconnection or terminated.
- Provide Emergency Crisis Intervention Program (ECIP) funding for gas customers year round including during the summer months.
- Allocate proportionate share of both LIHEAP Energy Assistance (EA) and ECIP to weatherization funding by redirecting 5% from EA and 5% from ECIP.
- Allow the distribution process to be open and more transparent regarding how FSD allocates both federal and state energy assistance funds.

Comments by Department of Economic Development (DED) Division of Energy (DE):

- DED-DE acknowledges 10% of available LIHEAP funds will be used for weatherization assistance and DSS will enter into an interagency agreement with DED to administer the weatherization component using Department of Energy (DOE) Weatherization Assistance Program rules.
- DED-DE will accept the responsibility to administer and monitor weatherization component with the expectation that DSS will provide up to 5% admin for grantee use.

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

No changes were made to the LIHEAP plan.

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? 23

12.2 How many of those fair hearings resulted in the initial decision being reversed? 1

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

Zero.

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

All LIHEAP households are entitled to request a hearing when they have been denied in reference to their application(s) for services.

Hearings may be requested in person, in writing (including fax), or by telephone.

Hearings can be requested by the applicant, an authorized representative, friend, relative, or legal representative.

Hearing requests can only be denied by the Division of Legal Services (DLS) Administrative Hearings Unit (AHU).

Requests for hearing are forwarded to the DLS, AHU. DLS AHU schedules a hearing and notifies all parties by letter stating the hearing date and time of hearing. The hearing will be a telephone hearing unless the claimant (applicant) refuses a telephone hearing. If the claimant (applicant) refuses the telephone hearing, an in-person hearing will be conducted.

A representative from the Contract Agency having first-hand knowledge about the application for services, processing, and decision being heard should attend the hearing. If it is not possible for the representative to attend the hearing, it is recommended the LIHEAP Program Director attend in his/her place.

The final decision upon completion of the hearing rests with the Family Support Division (FSD) Director. The Contract Agency must follow the recommendation indicated in the hearing decision.

12.5 When and how are applicants informed of these rights?

The LIHEAP application notifies the applicant of their right to request a hearing when a case has been denied or not acted upon in a timely manner.

Energy Assistance (EA) and Energy Crisis Intervention Program (ECIP) households are also notified after the adverse decision has been made regarding the application for LIHEAP services.

EA households are notified of their hearing rights via the Energy Assistance Notification (EA-6). The EA-6 states, "You have the right to request a fair hearing if you do not agree with this decision and you request the hearing within thirty (30) days after the date of this letter. If you request a fair hearing, you may present information yourself or you may be represented by your own attorney".

ECIP households are notified of their hearing rights in writing on the Contract Agency's denial letter which is sent by the Contract Agency. Hearings requested in relation to a decision regarding ECIP are also handled by the DLS AHU using the same procedures.

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

All LIHEAP households are entitled to request a hearing regarding timeliness in reference to their application(s) for services.

Hearings may be requested in person, in writing (including fax), or by telephone.

Hearings can be requested by the applicant, an authorized representative, friend, relative, or legal representative.

Hearing requests can only be denied by the Division of Legal Services (DLS) Administrative Hearings Unit (AHU).

Requests for hearing are forwarded to the DLS, AHU. DLS AHU schedules a hearing and notifies all parties by letter stating the hearing date and time of hearing. The hearing will be a telephone hearing unless the claimant (applicant) refuses a telephone hearing. If the claimant (applicant) refuses the telephone hearing, an in-person hearing will be conducted.

A representative from the Contract Agency having first-hand knowledge about the application for services, processing, and decision being heard should attend the hearing. If it is not possible for the representative to attend the hearing, it is recommended the LIHEAP Program Director attend in his/her place.

The final decision upon completion of the hearing rests with the Family Support Division (FSD) Director. The Contract Agency must follow the recommendation indicated in the hearing decision.

12.7 When and how are applicants informed of these rights?

The LIHEAP application notifies the applicant of their right to request a hearing when a case has been denied or not acted upon in a timely manner.

Energy Assistance (EA) and Energy Crisis Intervention Program (ECIP) households are also notified after the adverse decision has been made regarding the application for LIHEAP services.

EA households are notified of their hearing rights via the Energy Assistance Notification (EA-6). The EA-6 states, "You have the right to request a fair hearing if you do not agree with this decision and you request the hearing within thirty (30) days after the date of this letter. If you request a fair hearing, you may present information yourself or you may be represented by your own attorney".

ECIP households are notified of their hearing rights in writing on the Contract Agency's denial letter which is sent by the Contract Agency. Hearings requested in relation to a decision regarding ECIP are also handled by the DLS AHU using the same procedures.

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

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

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

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

The State of Missouri Low Income Home Energy Assistance Program (LIHEAP) does not use LIHEAP funds for these services.

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

N/A

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

N/A

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

N/A

13.5 How many households applied for these services? N/A

13.6 How many households received these services? 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 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.

Letters are issued to utility suppliers asking them to identify non-federal assistance, that is, local public or private funds to support assistance to LIHEAP Households. This includes a request for the following information:

- Total amount of funds expended during the above periods to support utility assistance to LIHEAP eligible households;
- Eligibility criteria (income or other) used as the basis for distribution of these funds;
- Geographic area (counties) in which the funds were expended; and
- Number of households to whom this assistance was provided.

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	Dollar More/Community Assistance	Ameren Missouri	Funds are donated by customers and or the Energy Supplier (through rate case decisions) and subsequently transferred to various not for profit organizations who then allocate funds to Missouri Contract Agencies. Funds are coordinated with the LIHEAP (EA and ECIP), and used to supplement LIHEAP funds for eligible households to provide additional financial assistance to households who have exhausted all LIHEAP benefits consistent with 45 CFR 96.87 (d) (2) (iii).
2	Dollar Help/Dollar More/Heat Up St. Louis and others charitable donations	Laclede Gas and Laclede Gas DBA Missouri Gas Energy	Funds are donated by customers and or Energy Suppliers (through rate case decisions) and subsequently transferred to various not for profit organizations who then allocate funds to Missouri Contract Agencies. Funds are coordinated with the LIHEAP (EA and ECIP) and used to supplement LIHEAP funds for eligible households to provide additional financial assistance to households who have exhausted all LIHEAP benefits consistent with 45 CFR 96.87 (d) (2) (iii).
3	Project Share	City Utilities of Springfield	Funds are donated by customers and or Energy Suppliers (through rate case decisions) and subsequently transferred to various not for profit organizations who then allocate funds to Missouri Contract Agencies. Funds are coordinated with the LIHEAP (EA and ECIP) and used to supplement LIHEAP funds for eligible households to provide additional financial assistance to households who have exhausted all LIHEAP benefits consistent with 45 CFR 96.87 (d) (2) (iii).
4	Deposit Waivers	Regulated Energy Suppliers	These suppliers work with LIHEAP households during the cold winter months (Cold Weather Rule) to help them maintain their service. In an effort to help assistance funding and customer contribution stretch to its fullest, some Energy Suppliers will waive deposit fees to connect, reconnect, or restore services.
5	Other Leveraging Resources	Customer or Charitable Organizations	Contributions are made and provided to Energy Suppliers. Additionally, leveraging resources include rate case funds provided by the Energy Supplier.

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

Section 15 - Training

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Section 15: Training

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

a. Grantee Staff:

Formal training on grantee policies and procedures

How often?

Annually

Biannually

As needed

Other - Describe:

Employees are provided with policy manual

Other-Describe:

b. Local Agencies:

Formal training conference

How often?

Annually

Biannually

As needed

Other - Describe:

On-site training

How often?

Annually

Biannually

As needed

Other - Describe:

Employees are provided with policy manual

Other - Describe

During on-site visits when monitoring the Contract Agencies we do informal training based on the results of the participant case file reviews for policy, procedure and timeliness, payment reviews, review of report timeliness, and Emergency Services. When possible, we have a private meeting with the manager and staff to discuss what we found. This serves as an opportunity to provide informal training on-site.

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:

The State of Missouri, Department of Social Services (DSS), Family Support Division (FSD) Low Income Home Energy Assistance Program (LIHEAP) provides a monthly email communication which contains reminders as well as policy and procedure tips. Vendors are offered training after signing a supplier agreement to become a participating supplier. Webinars are conducted to assist vendor staff with understanding the Customer Eligibility Listing (CEL) and payment processes.

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)

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

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

Missouri's LIHEAP is scheduled to be included in the Missouri Eligibility Determination and Enrollment System (MEDES) with other social service eligibility programs including Medicaid, Food Stamps, Temporary Assistance to Needy Families (TANF) and Child Care. Business function requirements included in the Project Assessment Quote (PAQ) included LIHEAP Performance Measure Report data elements.

Statewide Energy Assistance (EA) Timeframe Compliance was 89% of cases processed within thirty (30) days of application with average days to process of 11.80. All payments were made within forty-five (45) calendar days and all clients received a payment notification.

LIHEAP Contractors processed Emergency Crisis Intervention Program (ECIP) within forty-five (45) calendar days and all clients received a payment notification.

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

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

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

17.1 Fraud Reporting Mechanisms

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

- Online Fraud Reporting
- Dedicated Fraud Reporting Hotline
- Report directly to local agency/district office or Grantee office
- Report to State Inspector General or Attorney General

Forms and procedures in place for local agencies/district offices and vendors to report fraud, waste, and abuse

Other - Describe:

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

Printed outreach materials

- Addressed on LIHEAP application
- Website
- Other - Describe:

Application includes the following, "ATTENTION APPLICANT: When making any required utility payments, pay only your utility provider. Agencies will not accept fees or utility payments under any circumstances."

The Low Income Home Energy Assistance Program (LIHEAP) Contract Between Missouri Department of Social Services (DSS) Family Support Division (FSD) and LIHEAP Contractors has an entire section (3.11) titled, Fraud and/or Abuse that includes the following:

- Requires contractors to conduct background checks on potential and current employees.
- Contractor shall report to the DSS, Division of Legal Services (DLS) any financial fraud or abuse misconduct in the administration of LIHEAP no later than forty-eight (48) hours from the time the contractor determines there are reasonable grounds to believe that financial fraud or abuse or misconduct has occurred by calling 877-770-8055 or by email at DLS.ReportFraud@dss.mo.gov. The contractors will fully cooperate with all DLS investigations of suspected fraud and abuse or misconduct.
- The contractor may be prosecuted under applicable federal and/or state law for false claims, statements or documents or concealment of material fact.

The LIHEAP Supplier Agreement Between DSS, FSD and Home Energy Supplier contains an entire section titled, "Fraud Prevention and Reporting" (Section 8) which advises the Energy Supplier how to report suspected issues of fraud as well as making the Energy Supplier aware of the consequences they would face if they concealed any confidential information at their disposal.

17.2. Identification Documentation Requirements

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

Type of Identification Collected	Collected from Whom?		
	Applicant Only	All Adults in Household	All Household Members
Social Security Card is photocopied and retained	Required	Required	Required
	Requested	Requested	Requested <input checked="" type="checkbox"/>
	Required	Required	Required

Social Security Number (Without actual Card)				✓			
	Requested		Requested		Requested		
Government-issued identification card (i.e.: driver's license, state ID, Tribal ID, passport, etc.)	Required		Required		Required		
	Requested		Requested	✓	Requested		
	Other	Applicant Only Required	Applicant Only Requested	All Adults in Household Required	All Adults in Household Requested	All Household Members Required	All Household Members Requested
1							

b. Describe any exceptions to the above policies.

Any household member that does not have a Social Security Number must be advised to access www.socialsecurity.gov/ssnumber to apply for or replace one through the Social Security Administration. Once the application for a Social Security Number has been documented, a pseudo number for that household member can be assigned. Documentation will consist of a signed and dated statement or SS-5 from the Social Security Website or a Receipt for a Social Security Number (SSA-5028). The applicant must be advised to provide the statement, SSA-5028 or copy where it must be retained in the case record. The applicant must be advised to report the assigned Social Security Number once it is received. If the applicant does not provide documentation within the specified time frame, the application will be denied.

There are two exceptions to this requirement:

Applied or receiving Income Maintenance (IM) services or if the household member is one year of age or younger from the month prior to the date of the application.

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:

Verify on-site when the applicant or household member(s) visit the contract agency who serves the county in which the applicant resides.

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:

The State of Missouri's current eligibility system, FAMIS, which contains application information from the Food Stamp Program, may also be used to verify whether a household member is a considered a Legal Permanent Resident or whether they are excluded from the Food Stamp case for reason, "Citizenship".

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:

Verbal verification of income can be obtained from a current or past employer and this verification must be documented in the case file.

Employee Wage Documentation Report.

Statement from Employer with current date.

Income Maintenance Payroll Information.

Copy of benefit check.

Child Support Payment Records.

Rent Records.

Contracts.

Signed and Dated Statement from tenant or cancelled checks.

Zero-income statement if entire household has no income.

1040 Federal Income Tax return.

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:

Logging off the system prior to leaving work station.

Paying attention to who can see your computer screens and what information is being displayed.

Pick up printed records immediately from network printers.

Do not leave records unattended on desks.

Enclose paperwork in a folder, file and lock the drawer it is kept in.

Use Departmental Client Numbers (DCN) instead of Social Security Number for emails or any internet transmission.

Encryption is required when any email is sent which contains confidential information.

Never share passwords.

System timeouts for periods of inactivity.

Shredding confidential information that is being discarded.

Safe at Home (SAH) program available through the Secretary of State's Office for survivors of sexual assault, rape, stalking, and domestic violence. SAH provides an assigned address for mail. This mail is then sent to the member(s) from the Secretary of State's Office.

Confidential information provided only to those household members.

Information may be released to a limited amount of people such as State Legislators, Personal Representatives or Advocates.

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:

Between DSS, FSD and Home Energy Supplier contains an entire section titled, "Debarment Certification" which certifies that the Supplier is not presently debarred, suspended, proposed for debarment, declared ineligible, voluntarily excluded from participation, or otherwise excluded from or ineligible for participation under federal assistance programs.

Grantee staff access the State of Missouri Secretary of State - Business Entity Search website at

<https://www.sos.mo.gov/BusinessEntity/soskb/csearch.asp>

to verify the authenticity of every participating home energy supplier who has submitted a Home Energy Supplier Agreement. Copies of these verifications are placed in the home energy supplier files.

17.8. Benefits Policy - Gas and Electric Utilities

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

Applicants required to submit proof of physical residency

Applicants must submit current utility bill

Data exchange with utilities that verifies:

Account ownership

Consumption

Balances

Payment history

Account is properly credited with benefit

Other - Describe:

Centralized computer system/database tracks payments to all utilities

Centralized computer system automatically generates benefit level

Separation of duties between intake and payment approval

Payments coordinated among other energy assistance programs to avoid duplication of payments

Payments to utilities and invoices from utilities are reviewed for accuracy

Computer databases are periodically reviewed to verify accuracy and timeliness of payments made to utilities

Direct payment to households are made in limited cases only

Procedures are in place to require prompt refunds from utilities in cases of account closure

Vendor agreements specify requirements selected above, and provide enforcement mechanism

Other - Describe:

17.9. Benefits Policy - Bulk Fuel Vendors

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

Vendors are checked against an approved vendors list

Centralized computer system/database is used to track payments to all vendors

Clients are relied on for reports of non-delivery or partial delivery

Two-party checks are issued naming client and vendor

Direct payment to households are made in limited cases only

Vendors are only paid once they provide a delivery receipt signed by the client

Conduct monitoring of bulk fuel vendors

Bulk fuel vendors are required to submit reports to the Grantee

Vendor agreements specify requirements selected above, and provide enforcement mechanism

Other - Describe:

17.10. Investigations and Prosecutions

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

Refer to state Inspector General

Refer to local prosecutor or state Attorney General

Refer to US DHHS Inspector General (including referral to OIG hotline)

Local agencies/district offices or Grantee conduct investigation of fraud complaints from public

Grantee attempts collection of improper payments. If so, describe the recoupment process

Notification is sent to the clients of overpayments. The client has thirty (30) days to either sign a repayment agreement or request a hearing. If no response, the overpayment is entered into the Claims and Restitution System (CARS). The amount is added to computer system and an offset is set up against any future Energy Assistance (EA) payments.

For agencies or employees that commit fraud, the FSD and DSS Welfare Investigator will conduct onsite and case review monitoring and interviews to determine if victims need to be referred to their local prosecuting attorney. The onsite monitoring may reveal systemic agency issues that need to be corrected.

Claims of home energy supplier fraud are referred to state Attorney General Office Consumer Protection hotline.

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)

State of Missouri Department of Social Services Energy Assistance Unit * Address Line 1		
615 Howerton Court Address Line 2		
PO Box 2320 Address Line 3		
Jefferson City * City	Missouri * State	65102-2320 * 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).**