

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 Montana			
* b. Employer/Taxpayer Identification Number (EIN/TIN): 810302402		* c. Organizational DUNS: 0516593520000	
* d. Address:			
* Street 1:	DEPARTMENT OF PUBLIC HEALTH AND HUMAN SERVICES	Street 2:	P.O. BOX 202956
* City:	HELENA	County:	
* State:	MT	Province:	
* Country:	United States	* Zip / Postal Code:	59624 - 2956

e. Organizational Unit:

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

Prefix:	* First Name: Sheri	Middle Name:	* Last Name: Shepherd
Suffix:	Title: Energy & Community Programs Specialist	Organizational Affiliation:	
* Telephone Number: (406) 447-4269	Fax Number: 406-447-4287	* Email: sshepherd2@mt.gov	

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

b. Additional Description:

* 9. Name of Federal Agency:

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

11. Descriptive Title of Applicant's Project Low Income Home Energy Assistance Program

12. Areas Affected by Funding: State of Montana

13. CONGRESSIONAL DISTRICTS OF:

* a. Applicant MT	b. Program/Project: 00
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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 Marcia J. Lemon		18c. Telephone (area code, number and extension) (406) 447- 4276 Ext.	
		18d. Email Address mlemon@mt.gov	
18b. Signature of Authorized Certifying Official 		18e. Date Report Submitted (Month, Day, Year) 08/27/2014	
Attach supporting documents as specified in agency instructions.			

Section 1 - Program Components

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

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

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

Section 1 Program Components

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

1.1 Check which components you will operate under the LIHEAP program. (Note: You must provide information for each component designated here as requested elsewhere in this plan.)		Dates of Operation	
		Start Date	End Date
✓	Heating assistance	10/01/2014	04/30/2015
	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	66.92%
Cooling assistance	0.00%
Crisis assistance	3.00%
Weatherization assistance	15.00%
Carryover to the following federal fiscal year	0.00%
Administrative and planning costs	10.00%
Services to reduce home energy needs including needs assessment (Assurance 16)	5.00%
Used to develop and implement leveraging activities	0.08%
TOTAL	100.00%

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

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

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

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

1.4 Do you consider households categorically eligible if one household member receives one of the following categories of benefits in the left column below? Yes

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	Yes	No	Yes	Yes
SSI	Yes	No	Yes	Yes
SNAP	Yes	No	Yes	Yes
Means-tested Veterans Programs	No	No	Yes	Yes

	Program Name	Heating	Cooling	Crisis	Weatherization
Other(Specify) 1	General Assistance				

1.5 Do you automatically enroll households without a direct annual application? Yes

If Yes, explain:

Households determined eligible for the Subsidized Housing Energy Assistance modified LIEAP benefit whose economic and housing situation does not change would be determined LIEAP eligible for a period of five (5) years.

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?

Income, assets, household size, type of home, type of fuel and geographic location are the factors used to determine the benefit level. It is inconsequential whether they are categorically eligible or not.

SNAP Nominal Payments

1.7a Do you allocate LIHEAP funds toward a nominal payment for SNAP households? Yes

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: \$25

1.7c Frequency of Assistance

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

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

Residents of subsidized housing whose energy costs are included as a portion of their rent or who only have an obligation to pay a base load electric bill are not eligible for a regular LIEAP benefit as determined in ARM 37.70.601. However, these households will be eligible for a modified LIEAP benefit. The modified LIEAP benefit will be paid at the rate of 5% of the amount of a regular LIEAP benefit as identified by Montana's LIEAP benefit award matrix. A minimum payment of \$25 will be paid to the household annually. Basing payments to these households on the matrix will ensure that assistance is provided to them in proportion to need in accordance with LIHEAP statute (42 U.S. Code 8623) Applications and Requirements Section 2605 (b)(5).

In order to document the subsidized household has an energy burden the agency will need to document either:

1. The amount of rent the household pays; or
2. Proof the electric bill is in the client's name.

Households determined eligible for the Subsidized Housing Energy Assistance modified LIEAP benefit whose economic and housing situation does not change will be determined LIEAP eligible for a period of five (5) years.

The LIEAP application cover letter and the LIEAP application contain statements informing the client to reapply when they move or their circumstances change to continue LIEAP eligibility. In addition, the Office of Public assistance (SNAP Office) notifies clients of the requirement to reapply when circumstances change or they move to a new dwelling.

Residents of subsidized housing whose economic or housing situation changes during the five (5) year eligibility period will need to reapply. The households do not need to wait five (5) years before reapplying.

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
	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		
	<input checked="" type="checkbox"/>	Including MediCare deduction	Excluding MediCare deduction
<input checked="" type="checkbox"/>	Supplemental Security Income (SSI)		
<input checked="" type="checkbox"/>	Retirement / pension benefits		
<input checked="" type="checkbox"/>	General Assistance benefits		
<input checked="" type="checkbox"/>	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		
<input checked="" type="checkbox"/>	Cash gifts		
<input checked="" type="checkbox"/>	Savings account balance		
	One-time lump-sum payments, such as rebates/credits, winnings from lotteries, refund deposits, etc.		
<input checked="" type="checkbox"/>	Jury duty compensation		
<input checked="" type="checkbox"/>	Rental income		
	Income from employment through Workforce Investment Act (WIA)		
	Income from work study programs		
<input checked="" type="checkbox"/>	Alimony		
<input checked="" type="checkbox"/>	Child support		
<input checked="" type="checkbox"/>	Interest, dividends, or royalties		
<input checked="" type="checkbox"/>	Commissions		
	Legal settlements		
	Insurance payments made directly to the insured		

	Insurance payments made specifically for the repayment of a bill, debt, or estimate
✓	Veterans Administration (VA) benefits
✓	Earned income of a child under the age of 18
	Balance of retirement, pension, or annuity accounts where funds cannot be withdrawn without a penalty.
	Income tax refunds
	Stipends from senior companion programs, such as VISTA
✓	Funds received by household for the care of a foster child
	Ameri-Corp Program payments for living allowances, earnings, and in-kind aid
	Reimbursements (for mileage, gas, lodging, meals, etc.)
	Other

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

Section 2 - Heating Assistance

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

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

Add	Household size	Eligibility Guideline	Eligibility Threshold
1	1	State Median Income	60.00%
2	2	State Median Income	60.00%
3	3	State Median Income	60.00%
4	4	State Median Income	60.00%
5	5	State Median Income	60.00%
6	6	State Median Income	60.00%
7	7	State Median Income	60.00%
8	8	HHS Poverty Guidelines	150.00%
9	9	HHS Poverty Guidelines	150.00%
10	10	HHS Poverty Guidelines	150.00%
11	11	HHS Poverty Guidelines	150.00%
12	12	HHS Poverty Guidelines	150.00%
13	13	HHS Poverty Guidelines	150.00%
14	14	HHS Poverty Guidelines	150.00%
15	15	HHS Poverty Guidelines	150.00%

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?

No

Disabled?

No

Young children?

No

Households with high energy burdens ?

No

Other?

Explanations of policies for each "yes" checked above:

Please see additional requirements attachment.

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.

Pre-printed applications will be sent to households that heat with a deliverable fuels (Wood, Coal, Fuel Oil and Propane) in early September 2015. This allows the households to purchase fuel at cheaper prices.

Pre-printed applications will be sent to fixed income households (elderly and disabled) the middle of September 2015. This allows the vulnerable populations to receive a LIEAP benefit quicker.

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

Income

Family (household) size

Home energy cost or need:

Fuel type

Climate/region

Individual bill

Dwelling type

Energy burden (% of income spent on home energy)

Energy need

Other - Describe:

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

2.6 Describe estimated benefit levels for FY 2015:

Minimum Benefit	\$146	Maximum Benefit	\$4,919
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2.7 Do you provide in-kind (e.g., blankets, space heaters) and/or other forms of benefits? Yes

If yes, describe.

Space heaters are provided to alleviate a life-threatening or emergency situation.

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	1	State Median Income	0.00%

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

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

Do you require an Assets test ? No

Do you have additional/differing eligibility policies for:

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

Do you give priority in eligibility to:

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

Explanations of policies for each "yes" checked above:

NA

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

NA

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:	

NA

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

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

If yes, describe.

NA

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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Section 4: CRISIS ASSISTANCE

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

4.1 Designate the income eligibility threshold used for the crisis component

Add	Household size	Eligibility Guideline	Eligibility Threshold
1	1	State Median Income	60.00%
2	2	State Median Income	60.00%
3	3	State Median Income	60.00%
4	4	State Median Income	60.00%
5	5	State Median Income	60.00%
6	6	State Median Income	60.00%
7	7	State Median Income	60.00%
8	8	HHS Poverty Guidelines	150.00%
9	9	HHS Poverty Guidelines	150.00%
10	10	HHS Poverty Guidelines	150.00%
11	11	HHS Poverty Guidelines	150.00%
12	12	HHS Poverty Guidelines	150.00%
13	13	HHS Poverty Guidelines	150.00%
14	14	HHS Poverty Guidelines	150.00%
15	15	HHS Poverty Guidelines	150.00%

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

Emergency Assistance benefits are available from October through September.

Emergency Assistance under the Low Income Energy Assistance Program (LIEAP) may be provided to an eligible household in the following circumstances only when such circumstances present an imminent threat to the health and safety of the household.

Note:The household is responsible, at its own expense, for documenting that circumstances exist which present a serious, immediate threat to the household. The sub-grantee may, in its discretion, assist the household in identifying and documenting such circumstances, if the subgrantee has the expertise and resources to do so.

CONDITIONS OF EMERGENCY:

1. The household's primary supply of energy is interrupted because of weather conditions and another supply or a different type of energy is necessary.
2. Weather or other forces outside the control of the household damages the household's dwelling and causes the dwelling to suffer a severe loss of heat.
3. Hazardous or potentially hazardous conditions exist in the household's primary home water heating and/or space heating system, and safety modifications are required.
4. Any other home energy-related condition caused by severe weather conditions, fuel shortages, and/or acts of God.
5. Documented Medical Need.

4.3 What constitutes a life-threatening crisis?

Life-threatening is defined as any of the conditions of emergency specified in 4.2 that may cause death or severe permanent damage to the health of one or more household members.

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

In Order to receive crisis assistance:

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

Do you have additional / differing eligibility policies for:

Renters?	Yes
Renters living in subsidized housing?	Yes
Renters with utilities included in the rent?	Yes

Explanations of policies for each "yes" checked above:

Assets Test:

The following are the maximum non-business resources allowed:

- \$10,769 for a single person.
- \$16,157 for a two-person household.

Add \$1,077 for each additional member up to \$ 21,542 maximum per household.

Resources include, but are not limited to the following:

1. Cash on hand;
2. Certificates of deposit;
3. Checking/savings accounts;
4. Market value of stocks, bonds, and/or other negotiable resources.
5. Equity value of real property which is not the primary residence.*
6. Contract for deed (countable resource if can be sold).

Note: The household may also have business assets whose equity value does not exceed \$25,000.

Window air conditions can be installed only when the a household member has a documented medical need. The primary heat source may be switched it the houshold has a documented medical need.

RENTERS:

The Montana Residential Landlord and Tenant Act of 1977 (Montana Codes Annotated (MCA) 70-2425 states at 70-24-303 (1) 'A landlord:

- shall maintain in good and safe working order and condition all electrical, plumbing, sanitary, heating, ventilating, air-conditioning, and other facilities and appliances, including elevators, supplied or required to be supplied by the landlord;
- shall supply running water and reasonable amounts of hot water at all times and reasonable heat between October 1 and May 1, except if the building that includes

the dwelling unit is not required by law to be equipped for that purpose or the dwelling unit is so constructed that heat or hot water is generated by an installation within the exclusive control of the tenant;'

Unless a landlord can demonstrate that they are low-income or have some mitigating circumstances, the responsibility for the maintenance, repair or replacement of the combustion appliance in the rental unit is the responsibility of the landlord. Mitigating circumstances may include, but are not limited to:

- The landlord is absentee and the agency cannot contact the landlord and the maintenance, repair or replacement of the appliance is necessary to alleviate the health and safety related issue.
- The landlord refuses to maintain, repair or replace the appliance and the occupants of the dwelling have a health and safety issue with the appliance.
- The landlord cannot maintain, repair or replace the appliance in a timely manner to alleviate the health and safety issue.

All mitigating circumstances regarding the landlord not maintaining, repairing or replacing an appliance in a health and safety related circumstance must be documented in the participant's case file. The agency may contact the Department for guidance in determining a mitigating circumstance.

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: Montana does not provide crisis assistance for shut offs. Emergency Crisis assistance is provided year-round. Payment may be made for actual cost to alleviate an emergency or life threatening emergency.

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.**

Applications for energy crisis assistance are accessible to all eligible households in the area to be served.

4.11 Do you provide individuals who are physically disabled the means to:

Submit applications for crisis benefits without leaving their homes?

Yes **If No, explain.**

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

Yes **If No, explain.**

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

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

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

Winter Crisis	\$0 maximum benefit
Summer Crisis	\$0 maximum benefit
Year-round Crisis	\$9,999 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**

4.12

Crisis assistance is provided year-round. Payment may be made for actual cost to alleviate an emergency or life threatening emergency.

Emergency benefits can be used to alleviate energy-related emergencies. Emergency benefits can be used to purchase blankets, space heaters or other goods or services necessary to relieve energy related emergencies.

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): Water heating repair and replacement due to a hazardous or potentially hazardous situation.			✓

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.

It is a common misconception that utility companies are not allowed to disconnect natural gas or electricity during the winter months. Another misconception is that having children in the home of any age protects against disconnect. These beliefs are not true. Under certain circumstances, regulated utilities are allowed to proceed with non-pay disconnects during the winter moratorium period, which runs from November 1 to April 1.

NorthWestern Energy, Montana-Dakota Utilities, Energy West, and other regulated utilities must obtain approval from the Public Service Commission before proceeding with non-pay disconnects on delinquent accounts during the winter moratorium period. The Commission will not approve a request for disconnect if the account holder has income at or below the federal poverty guideline, if the account holder is a recipient of a public assistance program, if a member of the customer's household is 62 years old or older, or if a member of the household is handicapped. It is the customer's responsibility to let the utility company know, prior to disconnect, if any of the above conditions exist in the home and they will likely be asked to provide documentation to the utility.

Companies not regulated by the Commission, such as cooperatives and propane distributors, are not required to obtain Commission approval prior to disconnecting utility service and have their own procedures to follow for winter terminations.

Customers are advised to contact their utility company to discuss their account. If the customer is not satisfied or has unanswered questions after talking to a regulated utility company they may contact the Public Service Commission at 1-800-646-6150.

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

Section 5 - WEATHERIZATION ASSISTANCE

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
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MODEL PLAN
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Section 5: WEATHERIZATION ASSISTANCE

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

5.1 Designate the income eligibility threshold used for the Weatherization component

Add	Household Size	Eligibility Guideline	Eligibility Threshold
1	1	HHS Poverty Guidelines	200.00%
2	2	HHS Poverty Guidelines	200.00%
3	3	HHS Poverty Guidelines	200.00%
4	4	HHS Poverty Guidelines	200.00%
5	5	HHS Poverty Guidelines	200.00%
6	6	HHS Poverty Guidelines	200.00%
7	7	HHS Poverty Guidelines	200.00%
8	8	HHS Poverty Guidelines	200.00%
9	8	HHS Poverty Guidelines	200.00%
10	10	HHS Poverty Guidelines	200.00%
11	11	HHS Poverty Guidelines	200.00%
12	12	HHS Poverty Guidelines	200.00%
13	13	HHS Poverty Guidelines	200.00%
14	14	HHS Poverty Guidelines	200.00%
15	15	HHS Poverty Guidelines	200.00%

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

5.3 If yes, name the agency.

5.4 Is there a separate monitoring protocol for weatherization?Yes

WEATHERIZATION - Types of Rules

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

Entirely under LIHEAP (not DOE) rules

Entirely under DOE WAP (not LIHEAP) rules

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

Income Threshold

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

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

Other - Describe:

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

Income Threshold

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

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

Other - Describe:

Section 2605 (b) (1) (C) of the LIHEAP statute authorizes grantees to "provide low-cost residential weatherization and other cost-effective energy related home repair" and section 2605 (k) allows grantees to use LIHEAP funds for "low-cost residential weatherization or other energy-related home repair for low-income households." Homes weatherized 10 or more years prior to the application date for weatherization are eligible for weatherization with U.S. Department of Health and Human Services, and leveraged funds.

Skirting of mobile homes (or insulation of existing skirting) is an allowable weatherization measure provided subgrantees request and receive prior approval from the grantee and pay for the skirting (or insulation of existing skirting) with funds provided by the U.S. Department of Health and Human Services.

Use of LIHEAP funds for low/no cost energy conservation activities. Additionally LIHEAP funds may be used for cost-effective, efficiency-related fuel switching. The Montana Computerized Energy Audit is used to determine the SIR of any fuel switch.

Installing Standard Heat Pumps.

Montana utilizes DOE WAP income eligibility limits of up to 200% the Federal Poverty Guidelines (FPL) provided under DOW WAP regulations contained in 10 CFR Part 440. Poverty income guidelines are revised annually and published in the Federal Register. Refer to pages 3637-3638 of the Federal Register/Volume 76, Number 13/Thursday, January 20, 2011.

NON-STATIONARY HOMES

Where weatherization measures can be completed to meet standards, the Weatherization on nonstationary homes (e.g. RV campers or trailers) is allowable provided subgrantees request & receive prior approval from the grantee. Funds provided by the U.S. Department of Health & Human Services must be utilized for weatherization of non-stationary homes.

TRAINING AND TECHNICAL ASSISTANCE

Montana intends to utilize 15% of LIHEAP weatherization funds for training and technical assistance as allowed under CFR 440.23(e).

EQUIPMENT DISPOSAL

Equipment purchased with LIHEAP Weatherization funds which is no longer needed by the subgrantee who initially purchased it will be offered to other Montana LIHEAP Weatherization subgrantees at no charge. If no other LIHEAP Weatherization subgrantee in the state accepts the equipment, the subgrantee who initially purchased the equipment shall sell it at fair market value (FMV). All proceeds from the sale of equipment purchased with LIHEAP Weatherization funds will be reinvested into the LIHEAP Weatherization Program and utilized to weatherize additional homes.

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

5.6 Do you require an assets test?	Yes
5.7 Do you have additional/differing eligibility policies for :	
Renters	No
Renters living in subsidized housing?	No
5.8 Do you give priority in eligibility to:	
Elderly?	Yes
Disabled?	Yes
Young Children?	Yes
House holds with high energy burdens?	Yes
Other?	

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.

5.6 The following are the maximum non-business resources allowed:

- \$10,769 for a single person.
- \$16,157 for a two-person household.

Add \$1,077 for each additional member up to \$ 21,542 maximum per household.

Resources include, but are not limited to the following:

- Cash on hand;
- Certificates of deposit;
- Checking/savings accounts;
- Market value of stocks, bonds, and/or other negotiable resources.
- Equity value of real property which is not the primary residence.*
- Contract for deed (countable resource if can be sold).

Note: The household may also have business assets whose equity value does not exceed \$25,000.

5.8 Dwelling units are prioritized for services according to annual energy burden which is a household's actual or estimated annual heating costs expressed as a percentage of its annual income. In ranking dwelling units for weatherization the annual energy burden of households occupied by elderly or handicapped individuals will be weighted an additional 25 percent to ensure these individuals receive priority.

Benefit Levels

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

5.10 If yes, what is the maximum? \$0

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

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

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

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

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

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

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

Each administering Agency targets client outreach for all eligible households in accordance with annual work plans submitted by each. Each work plan describes the eligible activity and then describes how the activity will be accomplished.

Examples of activities:

The purpose of this Outreach is to increase participation in the LIHEAP program through enhanced outreach efforts; get income-eligible households to (re-)apply for LIHEAP; and help households avoid the need to apply for emergency fuel assistance. Outreach activities are necessary to target those households most vulnerable to the effects of cold, especially young children, the elderly and the handicapped.

Energy vendors are informed to advise their customers about the LIEAP, are provided a supply of current LIEAP applications, and make referrals to the agency

Include inserts in energy vendor billings to inform individuals of the availability of LIEAP assistance

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

Provide notices and press releases to newspapers, including weekly community newspapers.

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

Coordinate efforts with local fuel funds.

Provide a Website and on-line LIEAP application

Provide LIEAP applications to other social service offices (Head Start, WIC Offices, child care centers, Offices of Public Assistance) and agencies in their service area.

LIEAP brochure/pamphlet mailed to recipients of other cash assistance and service programs

Place posters/flyers and LIEAP applications in local and county social service offices, Area Agencies on Aging, Social Security office, VA, Senior Centers, etc.

Contact local churches and synagogues and other faith-based organizations, get notices in church bulletins.

Meet with city and town officials, including elderly commissions and Area Agencies on Aging, to review the program and place notices in senior papers.

Get information out through the public school systems.

Contact local housing authorities.

Post notices/flyers on public transits in larger cities.

Contact the following organizations and outlets to provide LIEAP information and applications:

- supermarkets and local neighborhood stores, food pantries and soup kitchens, attend community events held during LIHEAP season, hospital social workers,

local youth organizations, temporary employment centers and career centers, neighborhood health-care centers, second hand stores and thrift stores, labor organizations, local bingo and keno halls, private daycare centers, fraternal organizations, local veterans offices and organizations, cities and town halls, municipal halls, and libraries, banks check cashing outlets (a new focus in larger cities, obviously more attractive to low-income population), local immigrant organizations, meals on wheels and other elderly programs, pre-release and jail release programs, and common areas in apartment complexes, with permission.

Public speaking appearances by LIEAP staff at local community groups and as requested

Provide LIEAP information at Health Fairs, County Fairs, Senior Citizen Centers

Provide intake service through home visits or by telephone for the elderly or disabled e.g., translation, interpretation for deaf, reading for blind

Provide applications with return, pre-stamped envelopes mailed to homebound individuals who need help in applying for benefits

Following up with households who have incomplete applications

Assist targeted applicants to gather needed documentation e.g., sorting documents, explaining what is needed.

Innovating with or continuing successful local outreach projects

Provide a toll-free phone line

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:

Please describe how you will assure that LIHEAP is coordinated with similar and related programs. The description provided applies to all components unless specifically noted.

The same Agencies that contract with the Department to deliver LIHEAP also operate the weatherization assistance program and several federal housing programs. Policy manuals and regulations are in place governing these programs in Montana. Both programs are monitored using a standardized monitoring instrument. The same contracts are used for all agencies.

Additionally, the Section 8 and other housing programs as well as Energy Share, USB Energy programs and local Emergency Services programs are operated by CAA programs. Those programs are monitored under the auspices of the Community Service Block Grant (CSBG) standard monitoring instrument. The Housing programs such as section 8 are monitored and assessed based upon their own program standards. Energy programs are also required to meet standards established by their funders.

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 type="checkbox"/>	Welfare Agency
<input checked="" type="checkbox"/>	Other - Describe: Human Services

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

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

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

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

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

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

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?

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.

8.7 How many local administering agencies do you use? 11

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.

Payments are made directly to households in cases where there is not a fuel vendor.

1. Tenants - Utilities included in the rent (Tenants) households are reimbursed based on rent receipts.
2. Account not in Household Members Name - Vendor payments cannot be made to accounts that are not in a household member's name. Households are reimbursed based on paid energy receipts.
3. Wood: Some wood households are reimbursed based on paid wood receipts, up to the maximum amount of benefit, from the Contingency Revolving Fund (CRF). Households heating with wood may receive their benefit directly without payment receipt(s). Households electing to receive direct benefits without payment receipt(s) must sign a waiver of all future current year fuel assistance benefits, including any benefits derived from changing address or fuel type.
4. Coal: Some households using coal to heat their homes will be reimbursed based on submitted paid coal receipts.
5. Subsidized Rent Households: Residents of subsidized rent housing whose energy costs are included as a portion of their rent or who have an obligation to pay a base load electric bill are not eligible for a regular benefit as determined in ARM 37.70.601 or 5.1 Benefit Matrix. However, these households would be eligible for a modified LIEAP benefit. The modified LIEAP benefit would be paid at the rate of 5% of the amount of a regular LIEAP benefit as identified by Montana's LIEAP benefit award matrix. A minimum payment of \$25 or 5% of the regular LIEAP benefit would be paid to the household annually. Basing payments to these household on the matrix will ensure that assistance is provided to them in proportion to need in accordance with LIHEAP statute (42 U.S. Code 8623) Applications and Requirements Section 2605 (b)(5).

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

Notification letters regarding approvals, denials and pending status are sent to each household. The notification letters are generated from the Low Income Energy Assistance Program (LIEAP) CDS computer system. The local contractor must inform every applicant/recipient in writing at the time of application and at the time any action affects his benefits of the right to request a fair hearing.

The sub-grantee shall notify every household:

1. Of the eligibility determination of the Low Income Energy Assistance Program (LIEAP) application and reason for any action if applicable.
2. Of the Notice of Fair Hearing rights.
3. If the applicant has been determined eligible for Weatherization, notification to the household shall contain the following: "Because of limited funds, homes are weatherized on a priority basis with special consideration given to handicapped and elderly. You will be notified when funds become available to weatherize your home. If not notified within 1 year, you must reapply to be reassigned priority for service. If your home has been weatherized in the past, it may not be eligible to be weatherized again."
4. When they discontinue utility service, change address or fuel type, the balance of their Low Income Energy Assistance Program (LIEAP) benefit will be returned to the Department.
5. That the household who is reimbursed for paid energy costs must provide payment receipts within 45 days of the end of the heating season of each program year, or the unused portion of the benefit will be returned to the Department. Should the agency extend the end of the heating season beyond April 30th, requests for reimbursement must be received by the agency no later than June 25th of the same year.

DOCUMENTATION REQUIREMENTS - The notification letter is available on the Low Income Energy Assistance Program (LIEAP) CDS computer system. A hard copy of the notification letter will be available to the Agency, upon request, for the recipient's case record.

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?

Please see the attachment for copies of the vendor and contractor agreements, which are used for fuel and crisis benefit payments.

In addition, fuel vendors are visited during annual State monitoring visits.

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?

Please see the attachment for copies of the vendor and contractor agreements, which are used for fuel and crisis benefit payments.

In addition, fuel vendors are visited during annual State monitoring visits.

Please see the attachment for copies of the vendor and contractor agreements, which are used for fuel and crisis benefit payments.

In addition, fuel vendors are visited during annual State monitoring visits.

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

No

If so, describe the measures unregulated vendors may take.

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

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

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

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

All LIHEAP administering Agencies are, by contract, required to conduct the program in accordance with Office of Management and Budget (OMB) Circulars A-110, A-122 and A-133.

Agencies are required to submit final expense reports and provide appropriate reconciliation.

Each Adminstrating Agency is monitored on-site by the Department at least on an annual basis.

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	Two journal entries for allocation of common costs within weatherization programs charged did not contain supporting documentation from the accounting records to justify the amount charged. Items such as rent payment for weatherization space of was charged 100% to one funding source in one period, and split among 4 of 7 funding sources for another period when the space was used by several other weatherization funding sources. The effects of these errors could result in costs not being reasonable and allocable in accordance with OMB Circular A-122. The Agency did not have controls in place to ensure that documentation for allocable charges comply with OMB Circular A-122. The Department has requested that the agency submit processes that have been put in place to ensure that costs are spread equitably across the appropriate programs.	Yes	procedure/policy changes
2	reporting	There was no system in place for the program manager to monitor program expenses compared to approved grantor budgets consistently during the fiscal year. Controls needed to be in place to allow for consistent and timely monitoring of program expenses.	Yes	procedure/policy changes

10.4. Audits of Local Administering Agencies

What types of annual audit requirements do you have in place for local adminsterring 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:

The Department is audited through the Legislative Auditor's Office on a two (2) year cycle. Administering Agencies are required, by contract, to conduct a financial audit under the Single Audit Act.

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:

Each Administering Agency is monitored on-site by the Department at least on an annual basis. Random case file reviews are conducted to determine if client eligibility was determined correctly. Agencies are required to perform necessary corrective actions.

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

PY 2014 - 2015 Monitoring Schedule

- **April 2015**- District XII HRC, Butte; and North Central Area Agency on Aging
- **May 2015**-; District IV HRDC, Havre
- **June 2015**- Opportunities Inc., Great Falls and District VI HRDC, Lewistown
- **July 2015**- Action for Eastern Montana
- **August 2015**- Northwest Montana Human Resources, Kalispell
- **September 2015** - District XI HRC, Missoula
- **October 2015**- District IX HRDC, Bozeman and District VII HRDC, Billings
- **November 2015**- Rocky Mountain Development Council, Helena

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

Site Visits:

Each Administering Agency is monitored on-site by the Department at least on an annual basis. Random case file reviews are conducted to determine if client eligibility was determined correctly. Agencies are required to perform necessary corrective actions. Additional field reviews may be conducted to address potential problems and ensure compliance with required corrective actions. Monitoring will address subgrantee program administration and production. The review of program administration will cover financial management, personnel management, property management, inventory control, record keeping, client file documentation, labor and materials procurement, reporting, and compliance documentation.

A review of program production will cover energy audit procedures, quality of workmanship, program support costs, production goals, compliance with State and Federal material standards, monitoring of prices paid for labor and materials by subgrantees, and monitoring of the accuracy of subgrantee pre- and post-work inspections.

Desk Reviews:

Monthly desk monitoring is an important component of quality control in Montana. Desk monitoring will include routine analysis of the LIEAP Monitoring Report, energy audits, Energy Audit/Fuel Switch Report, and Quarterly Energy conservation Program Status Reports. Information contained in these reports will enable the grantee to ensure benefits are issued correctly.

10.8. How often is each local agency monitored ?

Each Administrating Agency is monitored on-site by the Department at least on an annual basis. Random case file reviews are conducted to determine if client eligibility was determined correctly. Agencies are required to perform necessary corrective actions.

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

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

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

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

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

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

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

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

Tribal Council meeting(s)

Public Hearing(s)

Draft Plan posted to website and available for comment

Hard copy of plan is available for public view and comment

Comments from applicants are recorded

Request for comments on draft Plan is advertised

Stakeholder consultation meeting(s)

Comments are solicited during outreach activities

Other - Describe:

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

There weren't any comments received during the public comment period or public hearing.

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	8/18/2014	Public Hearing

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

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

There weren't any comments received during the public comment period or public hearing.

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

There weren't any comments received during the public comment period or public hearing.

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? 20

12.2 How many of those fair hearings resulted in the initial decision being reversed? none

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

The State of Montana did not have any LIEAP programmatic changes due to Fair Hearings during FY 2013.

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

Notification letters regarding denials are to be sent to each household. The notification letters will be generated from the Low Income Energy Assistance Program (LIEAP) CDS computer system. The notification letters contain the language explaining the households right to a fair hearing. At the time of any action affecting the recipient's benefits, the subgrantee notifies the applicant of their fair hearing rights.

The sub-grantee shall notify every household:

1. Of the eligibility determination of the Low Income Energy Assistance Program (LIEAP) application and
2. Of the right to a Notice of Fair Hearing.

REQUESTING A FAIR HEARING

Prior to the steps below, the Eligibility Worker has sent a notification of fair hearing from the Low Income Energy Assistance Program (LIEAP) CDS computer system.

1. Claimant completes the "Energy Assistance Request for Fair Hearing" Form
2. Mails the request form to the Hearing Officer, Box 202951, Helena, MT 59620.

SCHEDULING AN ADMINISTRATIVE REVIEW:

1. The Hearing Officer will notify the sub-grantee that an Administrative Review has been ordered.
2. Upon receipt of Form DPHHS-LS-007, set a time and place for the Administrative Review and notify the claimant.
3. Notification includes: A statement indicating the purpose and scope of the Administrative Review, the effect the review has on the claimant's right to a Fair Hearing, and the claimant's right to representation (See Appendix for a sample letter).

FAIR HEARING: If the Claimant is still dissatisfied after the administrative review, the Hearing Officer sets the time and place of the Fair Hearing and notifies the claimant.

12.5 When and how are applicants informed of these rights?

Notification letters regarding approvals, denials, and missing information are to be sent to each household. The notification letters will be generated from the Low Income Energy Assistance Program (LIEAP) CDS computer system. The notification letters contain language explaining the households right to a fair hearing. At the time of any action affecting the recipient's benefits, the subgrantee notifies the applicant of their fair hearing rights.

The sub-grantee shall notify every household:

1. Of the eligibility determination of the Low Income Energy Assistance Program (LIEAP) application and
2. Of the right to a Fair Hearing.

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

The LIEAP application contains language that notifies the applicant of the right to be informed of the fair hearing process.

In taking a LIEAP application a sub-grantee must:

- Review and act on a submitted application within (45) days. Action includes approval, denial or sending a letter of missing information.
- Request any additional information or documentation needed to determine the eligibility or benefit amount, or both. If an applicant fails to provide information or documentation necessary for a determination of eligibility within 45 days of the date of the most recent request for additional information, the application must be

- denied, but the household may reapply for assistance.
- Determine eligibility within forty-five (45) days of receipt of the completed application.
- Notify applicants of determination of eligibility within forty-five (45) days of receipt of the completed application. Written notice of the determination is sent to applicants and recipients when assistance has been authorized, denied or terminated, using the CDS LIEAP system. The notification letter of authorization states the action taken and the amount authorized. The notification letter of denial or termination states the specific reason for denial or termination and the individual's right to request a Fair Hearing.

Notification letters regarding approvals, denials and missing information are to be sent to each household. The notification letters will be generated from the Low Income Energy Assistance Program (LIEAP) CDS computer system. The notification letters contain language explaining the households right to a fair hearing. At the time of any action affecting the recipient's benefits, the subgrantee notifies the applicant of their fair hearing rights.

The sub-grantee shall notify every household:

1. Of the eligibility determination of the Low Income Energy Assistance Program (LIEAP) application and
2. Of the right to a Fair Hearing.

The Administrative Rules of Montana (ARM) address the fair hearing requirement. The following is an excerpt from ARM.

37.70.311 PROCEDURES FOLLOWED IN PROCESSING APPLICATIONS (1)(a) An application is filed by the applicant together with verification for determining financial eligibility and benefit award. After an application is filed, the local contractor may request any additional information or documentation needed to determine the eligibility or benefit amount, or both. If an applicant fails to provide information or documentation necessary for a determination of eligibility within 45 days of the date of the most recent request for additional information, the application will be denied, but the household may reapply for assistance.

12.7 When and how are applicants informed of these rights?

Notification letters regarding approvals, denials and missing information are to be sent to each household. The notification letters will be generated from the Low Income Energy Assistance Program (LIEAP) CDS computer system. The notification letters contain the language explaining the households right to a fair hearing. At the time of any action affecting the recipient's benefits, the subgrantee notifies the applicant of their fair hearing rights.

The sub-grantee shall notify every household:

1. Of the eligibility determination of the Low Income Energy Assistance Program (LIEAP) application and
2. Of the right to a fair hearing.

REQUESTING A FAIR HEARING

Prior to the steps below, the Eligibility Worker has sent a notification of adverse action from the Low Income Energy Assistance Program (LIEAP) CDS computer system.

1. Claimant completes the "Energy Assistance Request for Fair Hearing" Form
2. Mails the request form to the Hearing Officer, Box 202951, Helena, MT 59620.

SCHEDULING AN ADMINISTRATIVE REVIEW:

1. The Hearing Officer will notify the sub-grantee that an Administrative Review has been ordered.
2. Upon receipt of Form DPHHS-LS-007, set a time and place for the Administrative Review and notify the claimant.
3. Notification includes: A statement indicating the purpose and scope of the Administrative Review, the effect the review has on the claimant's right to a Fair Hearing, and the claimant's right to representation (See Appendix for a sample letter).

FAIR HEARING: If the Claimant is still dissatisfied after the administrative review, the Hearing Officer sets the time and place of the Fair Hearing and notifies the claimant.

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

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

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

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

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

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

Each administering Agency targets client outreach and education activities for all eligible households in accordance with annual work plans submitted by each. Each work plan describes the eligible activity and then describes how the activity will be accomplished. Examples of activities:

- conducting energy education which is carried out through the creating and distribution of materials and participation in public events such as community fairs;
- educating vendors about energy programs by meeting face to face and establishing client referral practices.
- Engaging youth in energy awareness to promote conservation.

An example of an Assurance 16 work plan is attached.

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

Only five percent (5%) of available LIHEAP funds are contracted for Assurance 16 activities with contractors. These contracted activities will be monitored as part of the Department's field activities. An example of an Assurance 16 work plan is attached.

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

The number of households served during FY 2013 was 20,704 and the households served during FY 2014 was 21,248. There were 544 more households served during FY2014.

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

NA

13.5 How many households applied for these services? NA

13.6 How many households received these services? 9999999

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

Section 14 - Leveraging Incentive Program ,2607A

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

Section 14:Leveraging Incentive Program, 2607(A)

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

Yes

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

The following information is requested from fuel vendors and Community Action Agencies:

- Leveraging resource name,
- Description,
- Number of households, and
- The dollar amount of leveraging that you received.

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	NorthWestern Energy (NWE) Low Income Discount	LIHEAP eligible NWE customers receive twenty-five percent (25%) discounts for electric and thirty (30%) natural gas customers residential usage from October through September of the program year. Approximately 20,448 households qualify for this discount which results in approximately \$3,547,362 in benefits to NWE LIEAP customers.	These benefits are not appropriated or mandated for distribution in the LIHEAP program, but are provided by the NorthWestern Energy to eligible LIHEAP households.
2	Montana Dakota Utilities (MDU) Low Income Discount	LIHEAP eligible MDU customers receive fifteen percent (15%) average discount for natural gas and electric residential usage from October through September of the program year. Approximately 6,699 households qualify for this discount which results in an approximate \$799,931 benefit to MDU low-income customers.	These benefits are not appropriated or mandated for distribution in the LIHEAP program, but are provided by the Montana Dakota Utilities to eligible LIHEAP households.
3	Missoula Electric Cooperative Discount	LIHEAP eligible customers receive a ten percent (10%) discount for residential electricity usage from October through April of the program year. Approximately 134 households in Missoula County receive this discount in the amount of \$9,073.	These benefits are not appropriated or mandated for distribution in the LIHEAP program, but are provided by the Missoula Electric Cooperative to eligible LIHEAP households.
4	Energy West Gas Company Low Income Discount	LIHEAP eligible Energy West Gas Company customers receive an average fifteen percent (15%) discount for natural gas and propane residential usage from October through September of the program year. Approximately 1,364 households qualify for this discount which results in approximate \$164,819	These benefits are not appropriated or mandated for distribution in the LIHEAP program, but are provided by the Energy West Gas Company to eligible LIHEAP households.

		benefit to Energy West Gas Company low-income customers in their service area.	
5	Flathead Electric Cooperative Low-Income Discount Program	LIHEAP eligible households receive a low-income discount. Approximately 1,252 households in Flathead County receive this assistance for a total of \$747,654.	These benefits are not appropriated or mandated for distribution in the LIHEAP program, but are provided by the Flathead Electric to eligible LIHEAP households.
6	NorthWestern Energy (NWE) Free Weatherization Program	The NorthWestern Energy company provides funding to weatherize LIHEAP eligible low-income dwellings statewide from October through September. These monies can also be used to fuel switch if cost effective. Approximately 589 low-income households are served with approximately \$1,694,604 from NWE.	These benefits are not appropriated or mandated for distribution in the LIHEAP program, but are provided by the NorthWestern Energy company to eligible LIHEAP households who are NorthWestern Energy customers.
7	Energy Share of Montana Fuel Fund	The Energy Share of Montana program makes utility and private contributions available to LIHEAP eligible and other low-income individuals for energy needs not provided by the LIHEAP and weatherization programs. Approximately 2,287 households statewide received an average benefit of \$339 from the \$831,823 that was available to Energy Share.	These benefits are not appropriated or mandated for distribution in the LIHEAP program, but are provided by Energy Share to eligible LIHEAP and other low-income households throughout the state.
8	ELDERLY/DISABLED DISCOUNTS AND FEE WAIVERS Lincoln Electric Co-op Discount Program	LIHEAP eligible senior and disabled households receive a discount year-round. Approximately 129 households in Lincoln County receive this discount for a total of \$81,352.	These benefits are not appropriated or mandated for distribution in the LIHEAP program, but are provided by the company to eligible LIHEAP households.
9	ELDERLY/DISABLED DISCOUNTS AND FEE WAIVERS Mission Valley Power Senior Discount Program	LIHEAP eligible elderly households receive a discount from October through April of the program year. Approximately 134 households in Lake County receive this discount for a total of \$9,900.	These benefits are not appropriated or mandated for distribution in the LIHEAP program, but are provided by Mission Valley Power to eligible LIHEAP households.
10	ELDERLY/DISABLED DISCOUNTS AND FEE WAIVERS Propane Vendors Senior Discount	Propane vendors provide a senior discount for eligible households. Approximately 150 households in Flathead, Lake, Sanders and Lincoln Counties receive a discount for a total of \$1,300.	These benefits are not appropriated or mandated for distribution in the LIHEAP program, but are provided by the propane vendors to eligible LIHEAP households.
11	ELDERLY/DISABLED DISCOUNTS AND FEE WAIVERS Flathead Electric Cooperative Fee Waivers	LIHEAP eligible households, including elderly, receive waivers or reductions of deposits, reconnect fees, or collection service fees. Approximately 129 households in Flathead, Lake and Lincoln Counties receive these waivers for a total of about \$13,200.	These benefits are not appropriated or mandated for distribution in the LIHEAP program, but are provided by the Flathead Electric Cooperative to eligible LIHEAP households.
12	Low income weatherization materials suppliers' discount	Weatherization subgrantees receive supplier's discounts when purchasing weatherization materials for the low-income weatherization program. A ten percent (10%) discount is given for weatherization materials and a twenty percent (20%) discount is given for furnaces and furnace repair materials. Approximately 200 households throughout the state received a supplier's discount in the amount of \$36,100.	These benefits are not appropriated or mandated for distribution in the LIHEAP program, but are provided to weatherization subgrantees by suppliers throughout the state.
13	Landlord weatherization	Landlords of low-income dwellings buy down the costs of furnace replacements and other weatherization measures. Approximately 31 landlords	These benefits are not appropriated or mandated or distribution in the LIHEAP program, but are provided through negotiations between weatherization sub-grantees and landlords and

	contributions	throughout the state bought down \$23,553 in furnace replacement costs and other weatherization measures.	low-income homeowners which benefits LIHEAP eligible clients throughout the state.
14	Sun River Electric Weatherization Program	The Sun River Electric COOP Company provides funding to weatherize residential homes for low-income households located within the service delivery area of Sun River Electric Coop from January through December. Approximately 6 households participate with a funding level of \$35,000.	These benefits are not appropriated or mandated for distribution in the LIHEAP program, but are provided by the Sun River Electric Coop to eligible LIHEAP households within their service delivery area.
15	Lambros Realty	Lambros Realty will provide \$1,200 to assist approximately 10 households with funds for Weatherization buy downs, health and safety issues and other heating costs. This will be used for LIEAP eligible low-income families.	These benefits are not appropriated or mandated for distribution in the LIHEAP program, but are provided by Lambros Realty to eligible LIHEAP households within their service delivery area.
16	Energy West Gas Company and Montana Dakota Utilities (MDU) Low Income Furnace Program	The Energy West Gas Company and MDU provide funding to repair or replace natural gas furnace for low-income households located within the city limits of Great Falls from October through September. Approximately 121 households participate with a funding level of \$175,633.	These benefits are not appropriated or mandated for distribution in the LIHEAP program, but are provided by the Energy West Gas Company and MDU to eligible LIHEAP households within their service areas.
17	Montana Dakota Utilities (MDU) Universal Systems Benefits Program	MDU remitted \$104,000 to Action for Eastern Montana and the District VII Human Resource Development Council. The funds are used to supplement other funding for LIEAP households that need substantial weatherization work. The benefit to low-income, LIHEAP eligible households ranges from \$500 to \$3,000 per household.	These benefits are not appropriated or mandated for distribution in the LIHEAP program, but are provided to eligible LIHEAP households.
18	Fergus Electric (FE) Universal Systems Benefits Program	FE grants LIEAP eligible customers a \$250 credit for electric annually. This credit is provided to approximately 80 households annually in the amount of \$20,000	These benefits are not appropriated or mandated for distribution in the LIHEAP program, but are provided to eligible LIHEAP households.
19	Neighbors in Need Emergency Assistance Program	LIHEAP eligible households receive emergency assistance. Approximately 162 households in Flathead County receive this assistance for a total of \$8,900.	These benefits are not appropriated or mandated for distribution in the LIHEAP program, but are provided by the program to eligible LIHEAP households.
20	Northern Lights	LIHEAP eligible households receive emergency assistance. Approximately 4 households in Lincoln and Sanders Counties receive emergency assistance for a total of about \$1,500.	These benefits are not appropriated or mandated for distribution in the LIHEAP program, but are provided by the program to eligible LIHEAP households.
21	Flathead Electric Cooperative Emergency Assistance Program	Low-income households may receive emergency assistance through a program entitled "Keep the Lights On". Approximately 850 households in Flathead, Lake and Lincoln County receive this assistance for a total of \$97,250.	These benefits are not appropriated or mandated for distribution in the LIHEAP program, but are provided by the Flathead Electric Cooperative to eligible LIHEAP households
22	Lincoln Electric Co-op Emergency Assistance	. LIEAP eligible households receive emergency assistance. Approximately 19 households in Lincoln County receive this assistance for a total of \$3,800.	These benefits are not appropriated or mandated for distribution in the LIHEAP program, but are provided by the company to eligible LIHEAP households.
23	Energy payments by service organizations	Organizations of churches, ministerial associations and other charitable institutions make energy-related payments to energy providers on behalf of low-income households.	These benefits are not appropriated or mandated for distribution in the LIHEAP program, but are provided to low income households by these charitable organizations.

24	Hill County Electric Bill Assistance Program	The Hill County Electric Cooperative gives District IV HRDC Energy Programs \$16,000 per year to be given out in \$100 increments to its LIEAP clients, serving 100 clients.	These benefits are not appropriated or mandated for distribution in the LIHEAP program, but are provided by the company to eligible LIHEAP households.
25	Big Flat Electric Bill Assistance Program	The Big Flat Electric Co. gives District IV HRDC Energy Programs \$5,880 per year to be given out in \$175 increments to its LIEAP eligible clients, serving a total of 33 families.	These benefits are not appropriated or mandated for distribution in the LIHEAP program, but are provided by the company to eligible LIHEAP households.
26	Missoula Electric Cooperative	The Missoula Electric Cooperative gives District XI HRC Energy Programs \$15,000 per year to be given out by Energy Share according to Energy Share fuel fund guidelines to its LIEAP eligible low-income clients, serving a total of 50 households.	These benefits are not appropriated or mandated for distribution in the LIHEAP program, but are provided by the company to eligible LIHEAP households.
27	Mary Shamley Fund Deposit Program	LIEAP eligible households can receive grants to help pay the deposit necessary to put the energy account into the client's name. Approximately 20 households in Lewis & Clark, Jefferson and Broadwater Counties receive this assistance for a total of \$3,500.	These benefits are not appropriated or mandated for distribution in the LIHEAP program, but are provided by Rocky Mountain Development Council to eligible LIHEAP households.
28	Universal Systems Benefits Charges - Department of Revenue	Funds collected from USB charges by the Montana Department of Revenue, per Montana Code Annotated 69.8.412, will be distributed to benefit eligible applicants of Montana's LIEAP program and/or other low-income persons, as identified by the Department of Public Health and Human Services (Department). The funds will be distributed as much as possible to benefit the customers of the utilities from which the funds are collected, subject to overall program and Department goals and objectives.	These benefits are not appropriated or mandated for distribution in the LIHEAP program, but are for eligible LIHEAP households.
29	CITCO via Citizens Programs Corporation is providing heating oil assistance	Heating oil assistance to low-income LIEAP eligible tribal households. Approximately \$140,000 is being provided to serve 500 households with a benefit in the amount of about \$280 per household.	These benefits are not appropriated or mandated for distribution in the LIHEAP program, but are for eligible LIHEAP households.
30	Energy West Weatherization Program	The Energy West company provides funding to weatherize LIHEAP eligible low-income dwellings in the District V service area. Approximately 66 low-income households are served with approximately \$145,673 from Energy West.	These benefits are not appropriated or mandated for distribution in the LIHEAP program, but are provided by the Energy West to eligible LIHEAP households who are Energy West customers.
31	Deliverable fuel discount	Cash discounts provided by propane, fuel oil, wood and coal vendors to eligible LIHEAP clients. Approximately \$14,500 in discounts will be given to approximately 277 households throughout the state.	These benefits are not appropriated or mandated for distribution in the LIHEAP program, but are provided to low income households through negotiations with the vendors.
32	Volunteer Firewood Program	Action for Eastern Montana, Rocky Mountain Development Council LIEAP Office and the Northwest Montana Human Resource Council provide space for donations of firewood to be used by low income households who are in need of firewood during the heat season. Approximately 75 households in	These benefits are not appropriated or mandated for distribution in the LIHEAP program, but are provided to eligible LIHEAP households.

		Lewis & Clark, Jefferson and Broadwater Counties and Flathead County receive this service at an estimated value of \$75 each for a total estimate of \$5,625.	
33	Energy Share Refrigerator Replacement Program	The Energy Share Program provides refrigerator replacement to low-income families in circumstances where an old refrigerator is replaced with the outcome of reducing energy bills. The total funding is \$31,627 benefiting 56 households annually.	These benefits are not appropriated or mandated for distribution in the LIHEAP program, but are provided to eligible LIHEAP households.

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

Section 15 - Training

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

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

Section 15: Training

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

a. Grantee Staff:

Formal training on grantee policies and procedures

How often?

Annually

Biannually

As needed

Other - Describe:

Employees are provided with policy manual

Other-Describe:

Employees are trained on program changes as needed via meetings and webinars.

b. Local Agencies:

Formal training conference

How often?

Annually

Biannually

As needed

Other - Describe: Agency staff are trained on program changes as needed via meetings, roundtables, monitoring and webinars.

On-site training

How often?

Annually

Biannually

As needed

Other - Describe:

Employees are provided with policy manual

Other - Describe

The following trainings will be provided in September 2014 and October 2014. Experienced Workers: August 27th LIEAP Policy/CDS Refresher Training and September 24th LIEAP Policy/CDS Refresher Training New Workers Policy Training: October 1st (9am-5pm) & 2nd (9am- 3p.m.) LIEAP Policy New Workers New Workers CDS Training: October 6th-10th LIEAP CDS (Monday 10am-Friday Noon); October 14th-17th LIEAP CDS for Billings in Billings (Tuesday 10am-Friday-Noon); and October 20th-24th LIEAP CDS (Monday 10am-Friday Noon) The Montana Weatherization Training Calendar can be access at the following link: <http://www.weatherization.org/calendar.html>.

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:

A letter is sent to the fuel vendors annually explaining how to apply the LIEAP benefits to applicants accounts. Vendors are monitored during monitoring visits at each agency.

15.2 Does your training program address fraud reporting and prevention?

Yes

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

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

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

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

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

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

Montana is actively gathering data to meet the four required performance measures. Montana can report on average income, average benefit, annual cost of main heating fuel (natural gas and electric), annual consumption of main heating fuel, and annual consumption of electricity for approximately 50% of the households.

The following questions were added to the LIHEAP application last year to determine how well they would work with the draft performance measures. They worked well and we are leaving them in for this year.

1. Do you have Central Air Conditioning? Yes No
2. Do you have window/wall Air Conditioning (including an evaporative cooler)? Yes No
3. Has your household received a utility (energy) past due notice in the last 30 days? Yes No
4. Do you have less than 10% Deliverable Fuel (oil/propane/coal/wood) on hand? Yes No
5. Is your utility (energy) service currently disconnected? Yes No
6. Are you completely out of Deliverable Fuel (oil/propane/coal/wood)? Yes No

Those questions allow Montana to use its current system to report the number of households that had heating or cooling equipment repaired or replaced prior to failure; and the number of households where broken heating or cooling equipment was fixed.

Montana does not directly provide crisis assistance for terminations or households out of fuel. The Energy Share of Montana Program assists households with utility service terminations and households out of fuel. All Energy Share clients must apply for LIHEAP before getting Energy Share.

The above questions and Energy Share Program will allow Montana to use its current system to track households where utility service termination was prevented; where a fuel delivery prevented loss of service; where utility service was restored; and where a fuel delivery was made to a home that was out of fuel.

Montana has been and continues to be actively involved in the Performance Measures Implementation Work Group. Montana provided data for the Performance Measures pilot process that was discussed at the NEUAC conference. Several data options were explored to determine what the data showed for different combinations. Actual consumption data was compared to estimated consumption data and how close the 2 items were together.

A report is being created to allow anyone with MT LIHEAP system access to run a report that will provide the LIHEAP performance measures data at any point in time.

Discussions have begun regarding how to data from the deliverable fuel vendors.

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

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

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

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

17.1 Fraud Reporting Mechanisms

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

Online Fraud Reporting

Dedicated Fraud Reporting Hotline

Report directly to local agency/district office or Grantee office

Report to State Inspector General or Attorney General

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

Other - Describe:

Section 37.70.107 of the ARM (Administrative Rules of Montana) state:

37.70.107 REFERRALS TO THE DPHHS QUALITY ASSURANCE DIVISION PROGRAM COMPLIANCE BUREAU.

The Department of Public Health and Human Services (DPHHS), Quality Assurance Division, Program Compliance Bureau has the power and duty to:

- investigate matters relating to low income energy assistance including, but not limited to, applications, awards of benefits, and information received relating to an application;
- determine, based on the evidence gathered, whether an overpayment of benefits has occurred; and
- whether the overpayment was due to:
 1. a false or misleading statement or a misrepresentation, concealment, or withholding of facts; or
 2. any other action intended to mislead, misrepresent, conceal, or withhold facts.

Local contractors may make reports of possible overpayments or fraud to the Department of Public Health and Human Services (DPHHS), Intergovernmental Human Services Bureau (IHSB), P.O. Box 202956, Helena, MT 59620-2953. IHSB will review cases referred prior to referral to the Department of Public Health and Human Services, Quality Assurance Division, Audit and Compliance Bureau.

37.70.110 FRAUD/TRANSFER OF RESOURCES (1) Whoever knowingly obtains by means of a willfully false statement, representation, or impersonation or other fraudulent device low income energy assistance to which he is not entitled is guilty of theft as provided in 45-6-301, MCA and is ineligible for assistance for the entire current heating season.

(2) If an individual appears to have received assistance fraudulently, the local contractor must report all facts of the matter to Intergovernmental Human Services Bureau (IHSB) for determination as to whether the case should be referred to the DPHHS Quality Assurance Division, Program Compliance Bureau.

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

Printed outreach materials

Addressed on LIHEAP application

Website

Other - Describe:

17.2. Identification Documentation Requirements

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

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

		Requested		Requested		Requested
Social Security Number (Without actual Card)		Required		Required		Required
		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	Photo ID for all household members. Birth certificates are acceptable for household members under 18 years of age who do not have photo IDs.					✓	

b. Describe any exceptions to the above policies.

Effective 02/23/2012 -

Photo ID's for all household members or birth certificates for household members under 18 year of age are no longer required, if the agency has previously verified the SSN via the CDS LIEAP interface with the Social Security Administration.

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:

The State of Montana has an interface with the Social Security Administration to verify Social Security Numbers.

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:

CITIZENSHIP (Required):

- Social Security Number
- Birth certificate
- Religious document
- Voter's registration card
- U.S. Passport
- Adoption Papers
- Military Records if it shows where born

To Verify Lawful Entry Into The United States As A "Qualified Alien"

- Certificate of Naturalization (DHS Forms N-550 or N-570).
- Certification of U.S. Citizenship (DHS Forms N-560 or N-561).
- Certification of Birth Abroad of a U.S. Citizen (Form FS-240 or FS-545).
- U.S. Citizen Identification Card (Form I-197)
- Alien Registration Receipt Card (Form I-551)
- Arrival-Departure Record (Form I-94)
- Temporary Resident Card (Form I-688)

Verification must be requested and provided. **Note:** Some of the above forms (e.g. Arrival-Departure Record (Form I-94)) may prove lawful entry but do not prove intent to establish permanent residency.

A voter's registration card not acceptable verification for proof of citizenship when citizenship is questionable since an individual is not required to verify citizenship to register to vote.

Including social security number, proof of U.S. citizenship or lawful entry into the U.S.,

with the intent of establishing permanent residency, for all household members, as well as photo identification for all household members if not previously provided.

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:

It is the responsibility of the applicant to provide verification of earned income and unearned income.

EARNED INCOME:

Verification Information Generally Available From the Applicant or Recipient

- Pay stubs
- Pay envelopes
- Employee's W-2 forms
- Income tax returns-state/federal
- Self-employment bookkeeping records or the most recently filed Income tax return (within the last 12-18 months)
- Sales and expenditure records

Verification Information From Other Sources

- Employer's wage/payroll records
- State form for clearance of earnings for employment
- Employment Security Office
- Occupation Tax Agency
- State Income Tax Bureau - Department of Revenue (DOR)
- Tax statements-Federal/State

- LIEAP/TEAMS Inquiry
- MISTICS (Wage and UI Inquiry)
- State Compensation Insurance Fund

UNEARNED INCOME:

Verification Information Generally Available From the Applicant or Recipient

- RSDI Benefit Check
- RSDI Award Letter
- Correspondence on SSA Benefits.
- Educational grant or scholarship award letter
- Unemployment Compensation Award letter
- Pension Award Notice
- Veteran's Administration Award Notice
- Correspondence on Benefits
- Income Tax Record-state & federal
- Railroad Retirement Award Letter
- Social Security & Supplementary Security Income (SSI) Award Letter
- Workers' Compensation Benefits Award Notice

Verification Information From Other Sources

- Utilities Subsidy Payments (Section 8)
- Social Security District Office
- Bureau of Employment Security - Unemployment Compensation Section
- Employer's Records
- Union Records
- Workers' Compensation Records
- Veteran's Administration
- Lawyer's Records
- Insurance Company Records
- Lodge, Club, or Fraternal Organization Records
- Personal or Income Tax Records
- Railroad Retirement Board Records
- United Mine Worker's Union (Black Lung Benefits)
- Social Security Administration Records
- College and University Financial Aid Records
- Bureau of Indian Affairs Records
- Indian Tribal Business Council Records
- County Clerk of the Court Records
- Child Support Enforcement Agency Records
- Financial Institution Records
- Personal Records of Contributions
- Money orders
- Personal checks
- Statement from person making the contribution
- 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:

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:

LIHEAP payments will only be sent to authorized fuel vendors who have a signed contract agreement with the State of Montana.

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.
<input checked="" type="checkbox"/> Vendors are checked against an approved vendors list
<input checked="" type="checkbox"/> Centralized computer system/database is used to track payments to all vendors
Clients are relied on for reports of non-delivery or partial delivery
Two-party checks are issued naming client and vendor
<input checked="" type="checkbox"/> Direct payment to households are made in limited cases only
Vendors are only paid once they provide a delivery receipt signed by the client
<input checked="" type="checkbox"/> Conduct monitoring of bulk fuel vendors
Bulk fuel vendors are required to submit reports to the Grantee
<input checked="" type="checkbox"/> Vendor agreements specify requirements selected above, and provide enforcement mechanism
Other - Describe:
17.10. Investigations and Prosecutions
Describe the Grantee's procedures for investigating and prosecuting reports of fraud, and any sanctions placed on clients/staff/vendors found to have committed fraud. Select all that apply.
Refer to state Inspector General
Refer to local prosecutor or state Attorney General
Refer to US DHHS Inspector General (including referral to OIG hotline)
<input checked="" type="checkbox"/> Local agencies/district offices or Grantee conduct investigation of fraud complaints from public
<input checked="" type="checkbox"/> Grantee attempts collection of improper payments. If so, describe the recoupment process
37.70.115 OVERPAYMENTS AND UNDERPAYMENTS
When it is discovered that an administrative error resulted in an underpayment of low income energy assistance, it may be corrected by increasing the benefit award to cover the underpayment.
1. For purposes of determining financial eligibility, such retroactive corrective payments shall not be considered as income.
Except as provided in (3), current and future program year payments of low income energy assistance will be reduced the full amount of prior overpayments, unless the administrative cost would exceed the amount of overpayment.
1. Additionally, cases in which the recipient willfully made false statements or withheld information causing overpayment are to be referred to IHSB for determination as to whether the case should be referred to the DPHHS Quality Assurance Division, Program Compliance Bureau for determination of fraud as provided in ARM 37.70.110.
When it is discovered that the local contractor caused an overpayment of low income energy assistance or weatherization services, at the sole discretion of the department, the local contractor may be required to repay the entire overpayment to the department, rather than the overpayment being withheld from the recipient's future payments.
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)

Human and Community Services Division * Address Line 1		
Intergovernmental Human Services Bureau Address Line 2		
1400 Carter Drive Address Line 3		
Helena * City	MT * State	59620 * 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).**