

DISTRICT OF COLUMBIA

LOW INCOME HOME ENERGY ASSISTANCE PROGRAM (LIHEAP)
DETAILED MODEL PLAN

MANDATORY GRANT APPLICATION SF-424
PUBLIC LAW 97-35, AS AMENDED
FISCAL YEAR (FY) 2017

APPLICANT: Department of Energy and Environment

EIN: 1-536001131

ADDRESS: 1200 First Street NE, 5th Floor, Washington DC 20002

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TYPE OF APPLICANT: TRIBE _____ STATE X INSULAR AREA _____

CDFA TITLE: Low Income Home Energy Assistance (93568)

FUNDING PERIOD: 10/1/2016 – 9/30/2017

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

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.

THE LOW-INCOME HOME ENERGY ASSISTANCE PROGRAM

FY 2017 PROPOSED STATE PLAN

ASSURANCES

The Department of Energy and Environment agrees to:
(Grantee Name)

(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.

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)

Signature of the Tribal or Board Chairperson or Chief Executive Officer of the State or Territory.**

Signature: _____

Title: Director, Department of Energy and Environment

Date: _____

*** Indian tribes/tribal organizations, and territories with annual regular LIHEAP allotments of \$200,000 or less, are not subject to assurance 15, and thus must only certify to 15 assurances.**

**** If a person other than the Chief Executive Officer of the State or territory, or Tribal Chairperson or Board Chairperson of a tribal organization, is signing the certification to the assurances, a letter must be submitted delegating such authority. (PLEASE ATTACH DELEGATION of AUTHORITY.) The delegation must include authority to sign the assurances, not just to administer the program.**

***** HHS needs the EIN (Entity Identification Number) of the State, territory or Tribal agency that is to receive the grant funds before it can issue the grant.**

**** 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.

In the above assurances which are quoted from the law, "State" means the 50 States, the District of Columbia, an Indian Tribe or Tribal Organization, or a Territory; "title" of the Act refers to Title XXVI of the Omnibus Budget Reconciliation Act of 1981 (OBRA), as amended, the "Low Income Home Energy Assistance Act"; "section" means Section 2605 of OBRA; and, "subsection" refers to Section 2605(b) of OBRA.

Section 1 - 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

<input checked="" type="checkbox"/>	Heating assistance	Start date: 10/01/16	End date: 09/30/17
<input checked="" type="checkbox"/>	Cooling assistance	Start date: 10/01/16	End date: 09/30/17
<input checked="" type="checkbox"/>	Crisis assistance	Start date: 10/01/16	End date: 09/30/17
<input checked="" type="checkbox"/>	Weatherization assistance	Start date: 10/01/16	End date: 09/30/17

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%.

<u>50</u>	%	Heating assistance
<u>15</u>	%	Cooling assistance
<u>10</u>	%	Crisis assistance
<u>15</u>	%	Weatherization assistance
<u>0</u>	%	Carryover to the following Federal fiscal year
<u>10</u>	%	Administrative and planning costs
<u>0</u>	%	Services to reduce home energy needs including needs assessment (Assurance 16)
<u>0</u>	%	Used to develop and implement leveraging activities
<u>100</u>	%	TOTAL

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

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

- Heating assistance
- Weatherization assistance
- Cooling 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 No

	Heating	Cooling	Crisis	Weatherization
SNAP	X	X	X	X
TANF	X	X	X	X
SSI	X	X	X	X
Means-tested veteran’s program				
Other (Specify):				

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

Yes No -- If yes, explain:

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

A household where one member of the household receives a SNAP, TANF or SSI benefit is categorically eligible for LIHEAP assistance. For the purposes of calculating the amount of the LIHEAP benefit, categorically eligible applicants must submit required LIHEAP application documentation to DOEE. DOEE staff calculates the LIHEAP benefit amount for a categorically eligible household according to the District of Columbia’s LIHEAP Benefit Matrix.

SNAP Nominal Payments

1.7 a. Do you allocate LIHEAP funds toward a nominal payment for SNAP clients?

Yes No

If you answered “Yes” to question 1.7a, you must provide a response to questions 1.7b, 1.7c, and 1.7d.

b. Amount of Minimal Assistance: \$ _____

c. Frequency of Assistance:

- Once per year
- Once every five years
- Other (describe): _____

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

Determination of Eligibility – Countable Income

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

- Gross Income*
- Net Income

*for the self-employed this is adjusted gross income, calculated according to U.S. Internal Revenue Service (IRS) requirements

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

- Wages
- Self-employment income
- Contract income
- Payments from mortgage or sales contracts
- Unemployment Insurance
- Strike pay
- Social Security Administration (SSA) benefits
 - Including MediCare deduction Excluding MediCare deduction
- Supplemental Security Income (SSI)
- Retirement / pension benefits
- General Assistance benefits
- Temporary Assistance for Needy Families (TANF) benefits
- Supplemental Nutrition Assistance Program (SNAP) benefits
- Women, Infants, and Children Supplemental Nutrition Program (WIC) benefits
- Loans that need to be repaid
- Cash gifts
- Savings account balance
- One-time lump-sum payments, such as rebates/credits, winnings from lotteries, refund deposits, etc.
- Jury duty compensation
- Rental income
- Income from employment through Workforce Investment Act (WIA)
- Income from work study programs
- Alimony
- Child support
- Interest, dividends, or royalties
- Commissions
- Legal settlements
- Insurance payments made directly to the insured
- Insurance payments made specifically for the repayment of a bill, debt, or estimate
- Veterans Administration (VA) benefits
- Earned income of a child under the age of 18

- Balance of retirement, pension, or annuity accounts where funds cannot be withdrawn without a penalty.
- Income tax refunds
- Stipends from senior companion programs, such as VISTA
- Funds received by household for the care of a foster child
- Ameri-Corp Program payments for living allowances, earnings, and in-kind aid
- Reimbursements (for mileage, gas, lodging, meals, etc.)
- 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.

DOEE does not provide benefits to utility accounts with a credit on the account greater than \$1,000.00.

Section 2 - HEATING ASSISTANCE

Eligibility, 2605(b)(2) – Assurance 2

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

HHS Poverty Guidelines _____%

OR

State Median Income _____ 60%

2.2 Do you have additional eligibility requirements for HEATING ASSISTANCE?

Yes No

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

	<u>Yes</u>	<u>No</u>
● Do you require an assets test?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
● Do you have additional/differing eligibility policies for:		
● Renters?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
● Renters living in subsidized housing?	<input checked="" type="checkbox"/>	<input type="checkbox"/>
● Renters with utilities included in the rent?	<input checked="" type="checkbox"/>	<input type="checkbox"/>
● Do you give priority in eligibility to:		
● Elderly?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
● Disabled?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
● Young children?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
● Households with high energy burdens?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
● Other?	<input type="checkbox"/>	<input checked="" type="checkbox"/>

Explanations of policies for each “yes” checked above:

Applicants that are residents of subsidized housing or residents of a dwelling unit where utilities are included in the rent must provide proof in the form of a utility bill that they are directly responsible for paying their own heating costs.

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 households, e.g., benefit amounts, application period, etc.

LIHEAP is a non-entitlement benefit, determined and awarded for a single fiscal year. LIHEAP benefit amounts are determined using the District of Columbia’s LIHEAP Benefit Matrix which calculates a household’s LIHEAP benefit based on household income, household size, type of dwelling (single or multifamily), and fuel type. Benefit amounts are adjusted annually based on a sliding scale in order to allocate scarce resources in such a

way that, while serving as many households as feasible, the highest benefits go to households likely to have the highest energy burdens. (See Attachment 2, "District of Columbia LIHEAP Benefit Matrix").

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 2017:

\$ 250 Minimum benefit \$ 1500 Maximum benefit

These are total figures for ALL LIHEAP regular assistance for the fiscal year, heating and cooling.

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

- Yes No -- If yes, describe:

Subject to available funding, electric space heaters and blankets are provided to households that have been disconnected from energy service or the home heating oil supply is at 5% or less of capacity.

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

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

3.1 Designate the income eligibility threshold used for the cooling component:

HHS Poverty Guidelines _____%

OR

State Median Income 60% %

3.2 Do you have additional eligibility requirements for COOLING ASSISTANCE

Yes No

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

	<u>Yes</u>	<u>No</u>
● Do you require an assets test?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
● Do you have additional/differing eligibility policies for:		
• Renters?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
• Renters living in subsidized housing?	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• Renters with utilities included in the rent?	<input checked="" type="checkbox"/>	<input type="checkbox"/>
● Do you give priority in eligibility to:		
• Elderly?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
• Disabled?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
• Young children?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
• Households with high energy burdens?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
• Other?	<input type="checkbox"/>	<input checked="" type="checkbox"/>

Explanation of policies for each “yes” checked above:

Applicants that are residents of subsidized housing or residents of a dwelling unit where utilities are included in the rent must provide proof in the form of a utility bill that they are directly responsible for paying their own heating costs.

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

LIHEAP is a non-entitlement benefit, determined and awarded for a single fiscal year. LIHEAP benefit amounts are determined using the District of Columbia’s LIHEAP Benefit Matrix which calculates a household’s LIHEAP benefit based on household income, household size, type of dwelling (single or multifamily), and fuel type. Benefit amounts are adjusted annually based on a sliding scale in order to allocate scarce resources in such a way that, while serving as many households as feasible, the highest benefits go to households likely to have the highest energy burdens. (See Attachment 2, “District of Columbia LIHEAP Benefit Matrix”).

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

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

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

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

3.6 Describe estimated benefit levels for FY 2016:

\$ 250 Minimum benefit \$ 1500 Maximum benefit

These are total figures for ALL LIHEAP regular assistance for the fiscal year, heating and cooling.

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

- Yes No -- **If yes, describe.**

Subject to available funding, box fans are provided to households with inoperable air conditioning, when a member of the household is over the age of 55, or when a member of the household is under the age of five (5).

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

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

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

HHS Poverty Guidelines _____%

OR

State Median Income _____ 60%

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

A household is considered to be in crisis if the household has been disconnected from energy service or the household heating oil is at 5% or less of capacity.

4.3 What constitutes a life-threatening crisis?

A household is considered to be in a life-threatening crisis if the household depends on energy service for medical life support equipment and one of the following applies: (a) the household has been disconnected from energy service; (b) the household heating oil is at 5% or less of capacity; or (c) the household has received notice that a disconnection will occur within 48 hours or less. To qualify for life-threatening crisis assistance, applicants must provide certification from a licensed physician that a member of the household relies on energy service for emergency medical and life-support equipment.

Crisis Requirements, 2604(c)

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

48 Hours

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

48 Hours

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

4.6 Do you have additional eligibility requirements for CRISIS ASSISTANCE?

Yes No

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

	<u>Yes</u>	<u>No</u>
Do you require an assets test?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Do you give priority in eligibility to:		
• Elderly?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
• Disabled?	<input type="checkbox"/>	<input checked="" type="checkbox"/>

- Young children?
- Households with high energy burdens?
- Other?

In order to receive crisis assistance:

- Must the household have received a shut-off notice or have a near empty tank?
- Must the household have been shut off or have an empty tank?
- Must the household have exhausted their regular heating benefit?
- Must renters with heating costs included in their rent have received an eviction notice?
- Must heating/cooling be medically necessary?
- Must the household have non-working heating or cooling equipment?
- Other?

Do you have additional/differing eligibility policies for:

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

Explanations of policies for each “yes” checked above:

Applicants that are residents of subsidized housing or residents of a dwelling unit where utilities are included in the rent must provide proof in the form of a utility bill that they are directly responsible for paying their own heating costs.

Applicants that have received a shut-off notice or have a near empty tank and meet one of the following: (a) are age 55 or older or (b) use a breathing machine, will be considered for crisis assistance. Applicants who have already exhausted their regular benefit will be considered for crisis assistance if the household has been disconnected from energy service, or the household heating oil is at 5% or less capacity. For the bulleted items following “In order to receive crisis assistance”, any one of the checked “yes” bulleted items will be considered a qualifying event. If an applicant goes through the regular application process, is granted a benefit, and still has a need for crisis assistance, the crisis application is processed at the same visit.

Determination of Benefits

4.8 How do you handle crisis situations?

- Separate component
- Fast Track
- Other – Describe:

Ordinarily a crisis application will be treated separately from a regular benefit application. However, see item 4.7, just above.

4.9 If you have a separate component, how do you determine crisis assistance benefits?

- Amount to resolve crisis, up to a maximum of \$ 600
- Other

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 No

Explain. *DOEE accepts applications for energy crisis assistance at sites that are geographically accessible to all 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 No If No, explain.

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

- Yes No If No, explain.

All LIHEAP applicants schedule appointments through the District of Columbia’s 3-1-1 information call line. When calling 3-1-1, physically disabled applicants may request a home visit to complete the application process. 3-1-1 call operators forward all home visit requests to LIHEAP staff and LIHEAP staff contact the applicant within 24 hours or the next business day to make arrangements for the home visit.

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

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

Winter Crisis	\$ <u>600</u>	maximum benefit
Summer Crisis	\$ <u>600</u>	maximum benefit
Year-round Crisis	\$ <u>600</u>	maximum benefit

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

Yes No If yes, describe:

Subject to available funding, DOEE provides in-kind crisis assistance in the form of electric space heaters, blankets, box fans, and/or weatherization kits.

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

Yes No

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): _____			

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

Yes No _____

The utility vendors for the District of Columbia do not enforce a winter moratorium on shut-offs. However, under Chapter 3 of Title 15 of the District of Columbia Municipal Regulations, commonly referred to as the District of Columbia’s Public Service Commission (PSC) “Consumer Bill of Rights” or “CBOR”, disconnections of PSC-regulated natural gas and electric utility service are prohibited for most District residences “(a)[o]n any day the National Weather Service forecast for the following 24 hours for the District of Columbia forecasts that the temperature will be thirty-two (32°) degrees Fahrenheit or below; or (b) [o]n any day preceding a holiday or a weekend when the National Weather Service forecast indicated [sic] that the temperature will be thirty-two (32°) degrees Fahrenheit or below during the holiday or weekend.” 15 DCMR §310.3.

CBOR also requires utilities to postpone disconnections for a period not to exceed twenty-one (21) days “if the Utility is provided with a physician’s certificate or notice from a public health official which states that Disconnection would be detrimental to the health and safety of a bona fide occupant of the premises.” 15 DCMR §311.1.

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.

See the text in 4.16. There is no special dispensation for LIHEAP clients.

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

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

5.1 Designate the income eligibility threshold used for the weatherization component:

HHS Poverty Guidelines _____%

OR

State Median Income _____ 60%

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

5.3 Name the agency. _____

5.4 Is there a separate monitoring protocol for weatherization?

Yes No

WEATHERIZATION - Types of Rules

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

- 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.
 - Weatherization of shelters temporarily housing primarily low income persons (excluding nursing homes, prisons, and similar institutional care facilities) is permitted.
 - 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)

Eligibility, 2605(b)(5) – Assurance 5

	<u>Yes</u>	<u>No</u>
5.6 Do you require an assets test?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
5.7 Do you have additional/differing eligibility policies for:		
• Renters?	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• Renters living in subsidized housing?	<input checked="" type="checkbox"/>	<input type="checkbox"/>
5.8 Do you give priority in eligibility to:		
• Elderly?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
• Disabled?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
• Young children?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
• Households with high energy burdens?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
• Other?	<input type="checkbox"/>	<input checked="" type="checkbox"/>

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.

LIHEAP weatherization applicants who are renters must submit a signed permission agreement from the owner of the dwelling unit to DOEE in order to proceed with weatherization work. For multifamily buildings, 66% or more of the dwelling units in the building must be occupied by eligible residents in order to be considered for the LIHEAP weatherization program.

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

Yes No

5.10 What is the maximum amount? \$ 7,105

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

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

Weatherization needs assessments/audits

- Caulking and insulation
- Install storm windows
- Heating system repairs
- Heating system replacement
- Cooling system repairs
- Cooling system replacement
- Energy related roof repair
- Major appliance repairs
- Major appliance replacement
- Install windows/sliding glass doors
- Install doors (interior/exterior)
- Install water heater
- Water conservation measures
- Compact florescent light bulbs
- Other (describe) LED light bulbs.

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):

LIHEAP staff regularly conducts targeted outreach in coordination with DOEE's Public Information Office. Staff visits Advisory Neighborhood Commission meetings, senior citizen housing complexes, and other local organizations to present program information for the upcoming fiscal year. DOEE's annual mass mailing for the District's Utility Discount Program (UDP) includes information about LIHEAP assistance.

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

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:

The District of Columbia’s LIHEAP and the Utility Discount Programs (Residential Aid Credit, Residential Essential Services, and Customer Assistance Program) employ a joint application in order to coordinate energy-related services for low income residents. The District’s LIHEAP intake Energy Centers are located in the same building as the District of Columbia’s intake offices for the Department of Human Services (DHS), the agency that administers the District’s Temporary Assistance for Needy Families (TANF), Supplemental Nutrition Assistance Program (SNAP), and Medicaid programs.

SNAP recipient households are eligible to receive an annual Heat and Eat benefit of \$20.01 based on their residential energy use and affordability threshold, as determined by DHS. SNAP is funded by District local funds.

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

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

- Administration Agency
- Commerce Agency
- Community Services Agency
- Energy/Environment Agency
- Housing Agency
- Welfare Agency
- Other – describe:

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

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

Intake for heating assistance is only provided by DOEE staff. When LIHEAP funding is exhausted, DOEE staff conducts targeted outreach and client intake for heating assistance at sites throughout the District of Columbia.

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

Intake for cooling assistance is only provided by DOEE staff. When LIHEAP funding is exhausted, DOEE staff conducts targeted outreach and client intake for cooling assistance at sites throughout the District of Columbia.

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

DOEE does not provide outreach specific to crisis assistance. However, crisis assistance outreach is incorporated into the heating and cooling assistance outreach identified in items 8.2 and 8.3, above.

8.5 LIHEAP Component Administration.

	<u>Heating</u>	<u>Cooling</u>	<u>Crisis</u>	<u>Weatherization</u>
a. Who determines client eligibility?	<u>State Administration Agency</u>	<u>State Administration Agency</u>	<u>State Administration Agency</u>	<u>State Administration Agency</u>
b. Who processes benefit payments to gas and electric vendors?	<u>State Administration Agency</u>	<u>State Administration Agency</u>	<u>State Administration Agency</u>	
c. Who processes benefit payments to bulk fuel vendors?	<u>State Administration Agency</u>	<u>State Administration Agency</u>	<u>State Administration Agency</u>	
d. Who performs installation of weatherization measures?				Non-profits

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

8.6 What is your process for selecting local administering agencies?

N/A

8.7 How many local administering agencies do you use?

N/A

8.8 Have you changed any local administering agencies from last year?

Yes 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

9.1 Do you make payments directly to home energy suppliers?

- Heating Yes No
Cooling Yes No
Crisis Yes No
Are there exceptions? Yes No

If yes, describe:

Payments are made by DOEE directly to the home energy suppliers within 30 business days of the approval of assistance.

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

At the conclusion of the intake process clients are provided with a written notice that states the exact amount of assistance that will be paid towards their utility bill and the name of the payee. All payments are made directly to the energy supplier.

9.3 How do you assure that the home energy supplier will charge the eligible household, in the normal billing process, the difference between the actual cost of the home energy and the amount of the payment?

Vendor agreements are executed annually with each energy and oil company that supplies electric, natural gas or oil service to District residents. The agreements incorporate this assurance.

9.4 How do you assure that no household receiving assistance under this title will be treated adversely because of their receipt of LIHEAP assistance?

Vendor agreements are executed annually with each energy and oil company that supplies electric, natural gas or oil service to District residents. The agreements incorporate this assurance.

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

Yes No. If so, describe the measures unregulated vendors may take.

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

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

Federally accepted accounting practices and fiscal controls are used to track administrative and benefit expenditures. Authorized funding is assigned budgetary codes by funding type for tracking, monitoring, and compliance purposes. The LIHEAP program is also subject to District of Columbia internal audits.

Audit Process

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

Yes No

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 federal fiscal year.

Finding	Type	Brief Summary	Resolved?	Action Taken
1				
2				
3				
4				
5				

10.4 Audits of Local Administering Agencies

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

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

Compliance Monitoring

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

Grantee employees:

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

Local Administering Agencies/District Offices:

- On-site evaluation
- Annual program review
- Monitoring through central database
- Desk reviews
- Client File Testing/Sampling
- Other program review mechanisms are in place. Describe:

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

N/A

10.7 Describe how you select local agencies for monitoring reviews? N/A

Site Visits:

Desk Reviews:

10.8 How often is each local agency monitored? N/A

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

N/A

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

N/A

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

N/A

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

N/A

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

Section 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: *Posted a DOEE email address for receipt of comments.*

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

Public Hearings, 2605(a)(2)

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

Date	Event Description
August 9, 2016	Public Hearing at DOEE office

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

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

The full transcript will be submitted with this application.

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

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

12.1 How many fair hearings did the grantee have in the prior Federal fiscal year?

There were eight fair hearings docketed for FY16.

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

Six cases were settled when DOEE management took additional information from each claimant and awarded a benefit; two of the claimants withdrew their appeals, as their income was greater than the eligible income level.

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

None.

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

The District of Columbia's independent Office of Administrative Hearings (OAH) conducts hearings and resolves cases involving various programs administered by District agencies, including decisions concerning DOEE's LIHEAP non-entitlement benefit. See, generally, the District of Columbia's Municipal Regulations, 1 DCMR §§ 2970 -78.

An applicant, who is dissatisfied with a DOEE LIHEAP decision, including the denial of an application for a benefit, may follow the cited appeal procedures., 1 DCMR 2970.1(l)). An independent OAH administrative law judge issues a written decision for every case that is contested.

12.5 When and how are applicants informed of these rights?

Every applicant for LIHEAP assistance receives at the conclusion of the intake and the processing of their application: (a) a letter confirming the decision, (b) a printout of the database information on which the decision was based, (c) a copy of the matrix used to determine benefit level with a user key, and (d) detailed instructions on how to file an appeal if the applicant is dissatisfied with the decision. (See attached.) If the application was made at a DOEE office, these materials are provided to the applicant in person. If the application was taken at a home, as with a disabled or an elderly and frail person, DOEE mails the materials to the applicant promptly after the decision is made. If the application was completed online, materials (a), (c) and (d) are available online and the applicant may request item (b) by calling the District's unified call center at 311.

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

Hearings are held before an administrative law judge at the independent Office of Administrative Hearings.

12.7 When and how are applicants informed of these rights?

Every applicant for LIHEAP assistance receives at the conclusion of the intake and the processing of their application (a) a letter confirming the decision, (b) a printout of the

database information on which the decision was based, (c) a copy of the matrix used to determine benefit level with a user key, and (d) detailed instructions on how to appeal if the applicant is dissatisfied with the decision. If the application was completed online, materials (a), (c) and (d) are available online and the applicant may request item (b) by calling the District's unified call center at 311. (See attached.)

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

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?

N/A

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

N/A

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

N/A

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

N/A

13.5 How many households applied for these services?

N/A

13.6 How many households received these services?

N/A

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

Section 14 - Leveraging Incentive Program, 2607A

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

Yes No

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

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

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 the LIHEAP program?

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

Section 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: *DOEE sends some LIHEAP staff members to at least one annual meeting or training held by the National Utility and Energy Affordability Coalition (NEUAC).*

b. Local Agencies:

Formal training conference. How often?

Annually

Biannually

As needed

Other – Describe: N/A

On-site training. How often?

Annually

Biannually

As needed

Other – Describe: N/A

Employees are provided with policy manual

Other – Describe: *Not applicable as DOEE is the agency of administration.*

c. Vendors

Formal training conference. How often?

Annually

Biannually

As needed

Other – Describe:

Policies communicated through vendor agreements

Policies are outlined in a vendor manual

Other – Describe:

15.2 Does your training program address fraud reporting and prevention?

Yes

No

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

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

DOEE has begun the process of meeting the data collection and reporting requirements of the required LIHEAP performance measures. This process includes incorporating language into our vendor agreements regarding tracking performance measures and data collection.

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)

17.1 Fraud Reporting Mechanisms

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

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

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

- Printed outreach materials
- Addressed on LIHEAP application
- Website
- Other – describe:

LIHEAP literature contains information on reporting fraud, waste, and abuse.

17.2 Identification Documentation Requirements

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

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

b. Describe any exceptions to the above policies:

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/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:

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?

- Clients sign an attestation of citizenship or legal residency
- Clients' 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 database/Tribal ID card
- Other – describe:

An eligible household member is any individual who is a U.S. citizen or "qualified alien" and is a member of a household that meets the eligibility requirements specified in Section 2605(b)(2) of the Low Income Home Energy Assistance Act (42 U.S.C. § 8624(b)(2)). A "qualified alien" is defined at 8 U.S.C. § 1641(b).

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: *Documentation of all countable forms of income selected in Section 1.9, above.*

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.

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 of Energy Vendors

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

All vendors must register with the State/Tribe

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

Vendors are verified through energy bills provided by the household

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

Other – describe and note any exceptions to policies above:

17.8 Benefits Policy – Gas and Electric Utilities

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

Applicants required to submit proof of physical residency

Applicants must submit current utility bill

Data exchange with utilities that verifies:

Account ownership

Consumption

Balances

- Payment history
- Account is properly credited with benefit
- Other – describe:
- Centralized computer system/database tracks payments to all utilities
- Centralized computer system automatically generates benefit level
- Separation of duties between intake and payment approval
- Payments coordinated among other heating 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 the apply.

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

17.10 Investigations and Prosecutions

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

- Refer to state Inspector General
- Refer to local prosecutor or state Attorney General
- Refer to US DHHS Inspector General (including referral to OIG hotline)
- Local agencies/district offices or Grantee conduct investigation of fraud complaints from public

- Grantee attempts collection of improper payments. If so, describe the recoupment process.
- 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 — describes:

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.

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