DETAILED MODEL PLAN (LIHEAP)

Program Name: Low Income Home Energy Assistance
Grantee Name: The Klamath Tribe
Report Name: DETAILED MODEL PLAN (LIHEAP)
Report Period: 10/01/2020 to 09/30/2021
Report Status: Saved

Report Sections

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6. ***Section 5 - WEATHERIZATION ASSISTANCE***
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18. ***Section 17 - Program Integrity, 2605(b)(10)***
19. ***Section 18: Certification Regarding Debarment, Suspension, and Other Responsibility Matters***
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Mandatory Grant Application SF-424

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

August 1987, revised 05/92,02/95,03/96,12/98,11/01
OMB Clearance No.: 0970-0075
Expiration Date: 09/30/2020

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

* 1.a. Type of Submission:	* 1.b. Frequency:	* 1.c. Consolidated Application/ Plan/Funding Request? Explanation:	* 1.d. Version:
(●) Plan	(●) Annual		(●) Initial ( ) Resubmission ( ) Revision ( ) Update
		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:** The Klamath Tribes

* b. Employer/Taxpayer Identification Number (EIN/TIN):	* c. Organizational DUNS:
930801543	161155288

*** d. Address:**

* Street 1:	P.O. BOX 436	Street 2:	501 S. Chiloquin Blvd.
* City:	CHILOQUIN	County:	Klamath
* State:	OR	Province:	
* Country:	United States	* Zip / Postal Code:	97624-0436

e. Organizational Unit:

Department Name:	Division Name:
Community Services	LIHEAP Program

f. Name and contact information of person to be contacted on matters involving this application:

Prefix:	* First Name: Aryel	Middle Name:	* Last Name: Harrington
Suffix:	Title: Community Services Director	Organizational Affiliation: The Klamath Tribes	
* Telephone Number: (541) 783-2219	Fax Number (541) 783-0994	* Email: aryel.harrington@klamathtribes.com	

*** 8a. TYPE OF APPLICANT:**
I: Indian/Native American Tribal Government (Federally Recognized)

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
93.568

12. Areas Affected by Funding:

13. CONGRESSIONAL DISTRICTS OF:	
* a. Applicant 02	b. Program/Project: 02
Attach an additional list of Program/Project Congressional Districts if needed.	

14. FUNDING PERIOD:		15. ESTIMATED FUNDING:	
a. Start Date: 10/01/2020	b. End Date: 09/30/2021	* 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?

- ○ YES
- ◉ 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	18c. Telephone (area code, number and extension)
	18d. Email Address
18b. Signature of Authorized Certifying Official	18e. Date Report Submitted (Month, Day, Year)

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 20201

August 1987, revised 05/92, 02/95, 03/96, 12/98, 11/01
OMB Approval No. 0970-0075
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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	10/01/2020	05/31/2021
☑	Cooling assistance	06/01/2021	09/30/2021
☑	Crisis assistance	10/01/2020	03/15/2021
☑	Weatherization assistance	10/01/2020	12/31/2021

Provide further explanation for the dates of operation, if necessary

Heating and Crisis Assistance will begin 10/01/2020. Crisis will be available through 3/15/2021, while Heating Assistance will be available through 5/31/2021. If there are Heating and Crisis Assistance funds remaining, they will be reprogrammed to allow Cooling Assistance begining 06/01/2021. Weatherization will begin 10/01/2020, funds will be obligated by 09/30/2021 and expensed no later than 12/31/2021.

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	40.00%
Cooling assistance	30.00%
Crisis assistance	5.00%
Weatherization assistance	5.00%

Administrative and planning costs	10.00%
Services to reduce home energy needs including needs assessment (Assurance 16)	0.00%
Used to develop and implement leveraging activities	0.00%
TOTAL	100.00%

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

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

☑	Heating assistance	☑	Cooling assistance
☐	Weatherization assistance	☐	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

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

	Program Name	Heating	Cooling	Crisis	Weatherization
Other(Specify) 1		○ Yes ○ No	○ Yes ○ No	○ Yes ○ No	○ Yes ○ No

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?

SNAP Nominal Payments

1.7a Do you allocate LIHEAP funds toward a nominal payment for SNAP households? ○ Yes ◉ No

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

1.7b Amount of Nominal Assistance: $0.00

1.7c Frequency of Assistance

☐	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?

Not Applicable

Determination of Eligibility - Countable Income

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

☑	Gross Income
☐	Net Income

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

☑	Wages
☑	Self - Employment Income

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

☐	**Earned income of a child under the age of 18**
☐	**Balance of retirement, pension, or annuity accounts where funds cannot be withdrawn without a penalty.**
☐	**Income tax refunds**
☐	**Stipends from senior companion programs, such as VISTA**
☑	**Funds received by household for the care of a foster child**
☐	**Ameri-Corp Program payments for living allowances, earnings, and in-kind aid**
☐	**Reimbursements (for mileage, gas, lodging, meals, etc.)**
☑	**Other** Gaming revenue or other Tribal Per Capita payments, distributed to Tribal members at least 18 years of age and no longer attending High School or GED Program. Proof of annual income (previous 12-month time period) is required for all Adults not attending High School or in a GED Program within the Household. Generally, Adults with no income are required to provide proof via Wage Printout from the Oregon Employment Department. In response to the COVID-19 pandemic the Program will not require this proof for the duration of FY2021.

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

Section 2 - HEATING ASSISTANCE

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

August 1987, revised 05/92,02/95,03/96,12/98,11/01
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LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP)
MODEL PLAN
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Section 2 - Heating Assistance

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

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

Add	Household size	Eligibility Guideline	Eligibility Threshold
1	All Household Sizes	State Median Income	60.00%

2.2 Do you have additional eligibility requirements for HEATING ASSITANCE?	○ Yes ◉ No
2.3 Check the appropriate boxes below and describe the policies for each.	
Do you require an Assets test ?	○ Yes ◉ No
Do you have additional/differing eligibility policies for:	
Renters?	○ Yes ◉ No
Renters Living in subsidized housing ?	◉ Yes ○ No
Renters with utilities included in the rent ?	◉ Yes ○ No
Do you give priority in eligibility to:	
Elderly?	◉ Yes ○ No
Disabled?	◉ Yes ○ No
Young children?	○ Yes ◉ No
Households with high energy burdens ?	○ Yes ◉ No
Other? Tribal members	○ Yes ◉ No

Explanations of policies for each "yes" checked above:

Elders and those disabled are given first priority to apply for LIHEAP Assistance begining October 1st. All other households are able to apply for LIHEAP Assistance begining November 1st.

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

2.4 Describe how you prioritize the provision of heating assistance tovulnerable populations,e.g., benefit amounts, early application periods, etc.

Elder and those disabled applications are given priority through an early application period and are accepted starting October 1-31 by mail, in person appointments at the Tribal Administration office. Intakes are offered twice per month from November through February, at both satelitte offices in Klamath Falls and Beatty, Oregon. Appointments are scheduled around the Tribes' Public Transit service. The State of Oregon OPUS System is utilized to determine household eligibility and benefit amount.

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
- [x] Energy burden (% of income spent on home energy)
- [x] Energy need
- [ ] Other - Describe:

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

2.6 Describe estimated benefit levels for FY 2020:

Minimum Benefit	$250	**Maximum Benefit**	$550

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

If yes, describe.

Households in Crisis may be elgilbe for other services, depending on specific situations and needs, including in-kind items such as blankets, space heaters, and other emergency supplies.

Funds allotted under Section 2,"Heating Assistance" will be used only for direct energy payments to vendors. A direct payment may be made to clients, if their primary heat source is firewood heat. Proof of firewood procurement will be required in the form of a receipt; receipt(s) must be received within 60 days of check acceptance by the household.

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

Section 3 - COOLING ASSISTANCE

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

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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 component:

Add	Household size	Eligibility Guideline	Eligibility Threshold
1	All Household Sizes	State Median Income	60.00%

3.2 Do you have additional eligibility requirements for COOLING ASSITANCE?	○ Yes ◉ No
3.3 Check the appropriate boxes below and describe the policies for each.	
Do you require an Assets test ?	○ Yes ◉ No
Do you have additional/differing eligibility policies for:	
Renters?	○ Yes ◉ No
Renters Living in subsidized housing ?	○ Yes ◉ No
Renters with utilities included in the rent ?	○ Yes ◉ No
Do you give priority in eligibility to:	
Elderly?	◉ Yes ○ No
Disabled?	◉ Yes ○ No
Young children?	○ Yes ◉ No
Households with high energy burdens ?	○ Yes ◉ No
Other?	○ Yes ◉ No

Explanations of policies for each "yes" checked above:

In response the the Coronavirus (COVID-19) Outbreak, The Klamath Tribes LIHEAP is responding to the pandemic via the following actions:

1. Same eligiblity requirements apply to those seeking Cooling Assistance as Heating Assistance. This includes valid Photo ID for all adults in household, social security cards for all adults in household, household income cannot exceed income limit, household must have an energy burden, utiltiy account must be active, and household may receive Cooling Assistance once.
2. Going to waive the requirement to obtain a "Wage Printout" from the Oregon Employment Department, as proof of no income for FY2021.
3. The Klamath Tribes LIHEAP will not conduct in-person in-take appointments for Heating, Crisis, or Cooling Assistance. Applicants may drop-off, postal mail, email, or fax their applications to Energy Assistance Coordinator (EAC). If EAC has questions regarding application, this will be resolved via remote access such as phone call, email, or postal mail coorespondence.
4. Per item 4, as the Tribes LIHEAP is not conducting in-person in-take appointments, we willl also waive the requirement of the client to provide a signature on the "Intake Report" form generated by OPUS. Requiring applicant signature would cause unnecessary delay to process asssistance for applicants and the one-person in-take staff. Normally, these forms are signed in-person during the applicant's in-take appointment.

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

The appointments available the first two weeks of June are reserved for Elders and those Disabled. After the first week, all other households may schedule appointments to apply for assistance.

Cooling Assistance prioritizes assistance for: (1) Households who did not receive a "Heating Assistance" during current federal fiscal

year, and (2) Households who did not receive a "Crisis Assistance" during current federal fiscal year. Households who have received a Crisis Assistance payment may apply for assistance in July, should remaining funds or in-kind assistance be available.

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):

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

Cooling Assistance will only be available if there are funds remaining from "Heating Assistance" and "Crisis Assistance" funds.

- Heating Assistance will operate from 10/01/2019 to 5/31/2020, and is estimated at 40% of grant funds.
- Crisis Assistance will operate from 10/01/2019 to 3/15/2020, and is estimated at 5% of grant funds.
- Cooling is anticipated to operate from 6/1/2020 to 9/30/2020, and is estimated at 30% of grant funds. However, if there is an increase is households applying for Heating and/or Crisis Assistance, funds ear-marked for Cooling will be reprogrammed to Heating/Crisis to assist families through the cold winter months.

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

3.6 Describe estimated benefit levels for FY 2020:

Minimum Benefit	$50	**Maximum Benefit**	$550

3.7 Do you provide in-kind (e.g., fans, air conditioners) and/or other forms of benefits? (●) Yes ( ) No

If yes, describe.

Cooling Assistance will provide energy payments to electric utility, and/or provide in-kind assistance to eligible households. In-kind assistance may consist of portable Air Conditioner or Evaporitve Cooler. The Cooling Assistance amount provided is based upon the FY2021 Benefit Matrix, "Cooling" column. The household may choose energy payment or in-kind assistance, up to the assistance amount determined by the Benefit Matrix.

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	All Household Sizes	State Median Income	60.00%

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

A crisis exists when a household faces an energy burden which depletes or threatens to deplete financial resources, or which poses a potential health and/or safety threat to the well-being of the household.

4.3 What constitutes a life-threatening crisis?

A life-threatening crisis exists when a household member's health and/or well-being would likely be endangered if assistance is not provided to continue heating energy services. Generally, this would require an active medical certificate but may be deemed a life-threatening crisis by local service provider if extreme circumstances are present (e.g. extreme cold, fuel supply shortages, etc.)

In addition to the above, the household must either be disconnect or at imminent risk of disconnection (within 120 hours, or five days of the appointment time) to be considered as having a life-threatenting crisis situation. Households with deliverable fuels must either be out of fuel or at immeninet risk of being out of fuel.

Life-threatening crisis sitautions must be addressed (response provided) within 18 hours of receipt of application. This timeframe must be documented to ensure compliance with the federal requirement and must include comments outlining how the situation was addressed.

Crisis Requirement, 2604(c)

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

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

Do you require an Assets test ?	( ) Yes (●) No
Do you give priority in eligibility to :	
Elderly?	(●) Yes ( ) No
Disabled?	(●) Yes ( ) No
Young Children?	(●) Yes ( ) No
Households with high energy burdens?	( ) Yes (●) No
Other?	( ) Yes (●) No

In Order to receive crisis assistance:

Must the household have received a shut-off notice or have a near empty tank?	(●) Yes ( ) No
Must the household have been shut off or have an empty tank?	( ) Yes (●) No
Must the household have exhausted their regular heating benefit?	(●) Yes ( ) No
Must renters with heating costs included in their rent have received an eviction notice ?	( ) Yes (●) No
Must heating/cooling be medically necessary?	( ) Yes (●) No
Must the household have non-working heating or cooling equipment?	( ) Yes (●) No
Other? See notation provided below below.	(●) Yes ( ) No
Do you have additional / differing eligibility policies for:	
Renters?	( ) Yes (●) No
Renters living in subsidized housing?	( ) Yes (●) No
Renters with utilities included in the rent?	( ) Yes (●) No

Explanations of policies for each "yes" checked above:

The household must have exhausted its regular Heating benefit before being eligible for a Crisis payment. Crisis payments may be made only to a single utility vendor and cannot be be split in multiple payments. If a household recieved their "Heating Assistance" via direct payment to procure cords of firewood, a receipt or other proof of payment must be provided in order for the household to authorize "Crisis Assistance." Failure to provide receipt or proof of payment/purchase of firewood will cause the household to be ineligible for Crisis Assistance.

In order to be eligible for Crisis Assistance:

1. Household must meet the same eligiblity criteria as the Standard Assistance; and
2. Meet the following statement, "A crisis exists when a household faces a sudden or unexpected event beyone their control resulting in the inability to pay household heating costs;" and
3. Must have used Standard Assistance for the utility seeking Crisis Assistance with; and
4. Must have a utility shut-off notice or fear bulk fuel will be depeleted within 120 hours or five 24-hour days of the appointment time

Determination of Benefits

4.8 How do you handle crisis situations?

☑	**Separate component**
☐	**Fast Track**
☑	**Other - Describe:** In certain circumstances, the standard Heating Assitance may be used in combination with the Crisis Assistance.

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

☑	**Amount to resolve the crisis.**
☐	**Other - Describe:** The Caseworker will call the utility company determine amount to keep the utiltiy on. A pledge is made to the utility company for amount needed until payment is authorized, batched and paid by program. Program will only pay for the amount that is needed to keep the heat source on.

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.**

Crisis Applications are available at the Tribal Administration, Department satelite offices, various Tribal buildings and lcoations, and on the Department hompage on the Tribes website. No in-person in-take appointments will be required for FY2021 in regard to the COVID-19 Recommended Safety Measures. Applicants may submit applications via postal mail, email, fax, or drop-off at Tribal Admin, Health, or Commodities Warehouse.

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

Submit applications for crisis benefits without leaving their homes?

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

(●) Yes ( ) No **If No, explain.**

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

In cases of Elders, Disabled, or those with limited transportation, they will be able to submit applications remotely. These households are also able to submit applications and supporting documentation via the following:

1. **Fax documents to Community Services Department, LIHEAP Program**
2. **Postal mail documents to the Community Services Department, LIHEAP Program**
3. **Email documents to the Energy Assistance Coordinator. Many applicants have smart phones which are equiped with the capabitlity to capture a photograph of documents and email the electronic file. The Energy Assistance Coordinator prints files from email, and processing accordingly.**

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

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

Winter Crisis	$500.00	**maximum benefit**
Summer Crisis	$0.00	**maximum benefit**
Year-round Crisis	$0.00	**maximum benefit**

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

(●) Yes ( ) No **If yes, Describe**

Space heaters are provided in crisis situations and as a documented need arises.

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

(●) Yes ( ) No

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

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

	Winter Crisis	Summer Crisis	Year-round Crisis
Heating system repair	☐	☐	☑
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): Other: Any Household feature which may affect the ability to retain household heat. Per questions 4.14, Crisis funds may be used to provide emergency equipment repair or replacement up to $2,500 per household. Household may apply for this assistance once every five years.	☐	☐	☑

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

(●) Yes ( ) No

If you answered "Yes" to question 4.16, you must complete 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.

Pacific Power and Light does not shut off a clients on Friday's, which gives the LIHEAP program a chance to work with PP&L and the client. AVISTA, the natural gas company generally does not shut off a client on Friday's if they are called in advance. All other vendors are on a direct fill or supply for the client and do not have shut off's. The LIHEAP program can call in pledges to all companies.

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

Section 5 - WEATHERIZATION ASSISTANCE

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Section 5: WEATHERIZATION ASSISTANCE

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

5.1 Designate the income eligibility threshold used for the Weatherization component

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

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

5.3 If yes, 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.)

- [x] **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 Ration (SIR) standards.**
  - [ ] **Other - Describe:**

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

5.6 Do you require an assets test?	○ Yes ◉ No
5.7 Do you have additional/differing eligibility policies for :	
Renters	◉ Yes ○ No
Renters living in subsidized housing?	◉ Yes ○ No
5.8 Do you give priority in eligibility to:	
Elderly?	◉ Yes ○ No

Young Children?	◉ Yes ○ No
House holds with high energy burdens?	◉ Yes ○ No
Other? Length of time applicant has waited on the Wait List; the date of their initial application for Weatherization Assistance.	◉ Yes ○ No

If you selected "Yes" for any of the options in questions 5.6, 5.7, or 5.8, you must provide further explanation of these policies in the text field below.

If the client is not the owner of the residence/property, the client must: (1) be a long term renter, for 5 or more years, and (2) obtain approval from the owner for Weatherization work to be completed on the residence. Landlord also agrees not to randomly evict the renter immediately after the weatherization has been provided. Homeowners are given priority over renters; given all other factors are identical.

If the client is the owner, they must sign an Agreement which states the property is not listed for sale and will not be for sale for one year from when Weatherization services are provided.

Benefit Levels

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

5.10 If yes, what is the maximum? $3,500

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**	☑ **Energy related roof repair**
☑ **Caulking and insulation**	☑ **Major appliance Repairs**
☑ **Storm windows**	☑ **Major appliance replacement**
☑ **Furnace/heating system modifications/ repairs**	☑ **Windows/sliding glass doors**
☑ **Furnace replacement**	☑ **Doors**
☑ **Cooling system modifications/ repairs**	☑ **Water Heater**
☑ **Water conservation measures**	☑ **Cooling system replacement**
☑ **Compact florescent light bulbs**	☑ **Other - Describe:** Renewable energy instillation, repair, or replacement

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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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:

- [x] **Place posters/flyers in local and county social service offices, offices of aging, Social Security offices, VA, etc.**
- [x] **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.**
- [x] **Mass mailing(s) to prior-year LIHEAP recipients.**
- [x] **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.**
- [x] **Other (specify):**

A Public meeting is held annually by PowerPoint presentation and printouts are provided. Tribal newsletter and mailouts provide information to clients plus word of mouth. Other Trbal departments and programs also inform/refer their clients. Many local agencies refer Native Americans from other tribes who relocate to Klamath County to the Tribes 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 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:**

The Klamath Tribes' LIHEAP program coordinates its activities with fuel suppliers, local governmental agencies, social service agencies, and Tribal departments. The Tribes' LIHEAP Coordinator shares information and makes referrals to the Klamath/Lake Community Action Services LIHEAP staff. The Coordinator provides information and participates in meetings with other Tribal Departments. The Tribes LIHEAP entered into an agreement with the State of Oregon, Oregon Housing and Community Services to use the OPUS System for all LIHEAP applications and processing. We work closely with the Klamath/Lake Community Action Program in accepting and making referrals.

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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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?

☐	**Administration Agency**
☐	**Commerce Agency**
☐	**Community Services Agency**
☐	**Energy / Environment Agency**
☐	**Housing Agency**
☐	**Welfare Agency**
☑	**Other - Describe:** Federally Recognized Indian Tribe

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?

N/A

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

N/A

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

N/A

8.5 LIHEAP Component Administration.	Heating	Cooling	Crisis	Weatherization
8.5a Who determines client eligibility?	Tribal Government	Tribal Government	Tribal Government	Tribal Government
8.5b Who processes benefit payments to gas and electric vendors?	Tribal Government	Tribal Government	Tribal Government	

8.5c who processes benefit payments to bulk fuel vendors?	Tribal Government	Tribal Government	Tribal Government	
8.5d Who performs installation of weatherization measures?				Tribal Government

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? Zero, all LIHEAP services available through LIHEAP funds are administered by The Klamath Tribes.

8.8 Have you changed any local administering agencies in the 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**

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

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

9.1 Do you make payments directly to home energy suppliers?

Heating	(•) Yes ( ) No
Cooling	(•) Yes ( ) No
Crisis	(•) Yes ( ) No
Are there exceptions?	(•) Yes ( ) No

If yes, Describe.

Energy payments are generally always paid directly to a home energy supplier or other vendor. Whenever possible, payments will identify the client's name and account number. For some vendors such as, Crater Lake Junction Travel Center (for propane), or Diamond Home Improvement (for pellets), or Amerigas (for bulk propane) the payment is under a general account for The Klamath Tribes.

For households who use firewood for their primary or secondary heating source, "Direct Pay" option is allowable. Check is made payable to the client to be consistent with the number of cords of firewood to be purchased. The client is responsible for procuring the firewood, and submitting proof of payment within 60 days of check acceptance.

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

All clients are provided a Notice of Action Form copy either via postal mail or email. The form details assistance amount and an authorization number. If the client misplaces the authorization form, a copy can be mailed or faxed to them.

Copies of all forms are filed in the client household file. Please see attachments for document templates.

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?

At the beginning of the LIHEAP year the Tribes makes its best effort to enter into contracts with energy suppliers. Contracts contain legal clause as to discrimination, charging in the normal billing process, and differences in actual cost and and the amount of the LIHEAP payment. LIHEAP Coordinator is in contact with energy suppliers to determine the appropriate amount to be billed and paid on the client's behalf.

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?

At the beginning of the LIHEAP, the Tribes makes its best effort to enter into year contracts with energy suppliers. Contracts contain legal clause as to descrimination, charging in the normal billing process, and differences in the actual cost and the amount of the LIEAP payment.

All client information is confidential and and kept in locking file cabinets and offices. Discussions of client information is between the Department Director and Coordinator. Intake appointments are done in a closed door setting between Coordinator and client. Scheduling of appointments are conducted by the Program Support Specialist or Administrative Assistant. Client appointments are kept in an appointment book only accessable to the Administrative Assistant and Energy Assistance Coordinator.

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.

Regulated and unregulated energy supplies are requested to sign a contract, no matter how few clients they serve.

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?

The Tribes accounting certification has been developed in accordance with Title 25, Chapter 1, of the Code of Federal Regulations, and is strictly adhered to.

An annual audit is conducted every year.

The Coordinator and Department Director are both authorized to use the State of Oregon's OPUS system to enter, validate and authorize payments. The Department also has a cuff account system that helps track and control LIHEAP funds. The Tribes Finance Department uses the MIPS accounting system for all accounting procedures. LIHEAP funds have their own fund number and new budgets are prepared annualy when funds are awarded. The Klamath Tribes Budget Committee and Tribal Council have final approval on all budgets.

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 fiscal year.

No Findings ☑

Finding	Type	Brief Summary	Resolved?	Action Taken
1				

10.4. Audits of Local Administering Agencies

What types of annual audit requirements do you have in place for local administering agencies/district offices?
Select all that apply.

- ☑ **Local agencies/district offices are required to have an annual audit in compliance with Single Audit Act and OMB Circular A-133**
- ☐ **Local agencies/district offices are required to have an annual audit (other than A-133)**
- ☐ **Local agencies/district offices' A-133 or other independent audits are reviewed by 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 Tribes have a check and balance system included in Procurment Policies and Procedures, Property Management Policies, Records Policy and Travel Policy. The Finance Department uses the MIPS system for accounting and tracking of expenditures. All Major programs are audited annually by an outside accounting firm. The Director of Community has at her discretion to audit any LIHEAP file necassary and has final approval for LIHEAP authoritizations and batches to be paid.

Local Administering Agencies / District Offices:

- [ ] **On - site evaluation**
- [ ] **Annual program review**
- [x] **Monitoring through central database**
- [ ] **Desk reviews**
- [x] **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.

Each LIHEAP client/household file are deemed eligible/not eligible for assitance by the Energy Assitance Coordinator. The Coordinator forwards files which require action each Monday to the Supervisor or coworker. The Staff reviews each file to ensure eligibility, and the in-take process was performed coorectly. If there are discrepancies in the review, Staff will return the file to the Coordinator for correction, revison, or clarification. Once Staff and Coordaintor determination of each file is consistent, file will be processed for assistance. Prior to batching assistance, the Director may take a random sample of 10% of client files. If files chosen at random are processed correctly, all applications within the "batch" will receive action. The action will either be a denial or complete/approved status. Final determination of approved or denied is written in each client file. The payment information is detailed with the file, and Vendor Report is forwarded to Administrative Assistant to begin the payment processing. All client files are returned to Coordinator to return to locked file cabinets.

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

Site Visits:

Not applicable

Desk Reviews:

Not applicable

10.8. How often is each local agency monitored ?

Not applicable

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

Not applicable

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

Not applicable

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)
- [x] 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
- [x] 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?

The FY2021 LIHEAP Model Plan will be available for Public Comment as soon as the Plan and its attachments are in final draft. The Plan will be posted to The Klamath Tribes website, Community Services Department homepage. Seperately, a flyer will be released to The Klamath Tribes email list serve, Website, and Facebook page requesting review and comment by the public. A "LIHEAP Public Comment Feedback Form" will be posted to The Klamath Tribes website, Community Services homepage as well. Any Public Comment forms received will be included with the Model Plan prior to submission to DHHS.

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		
2		

11.4. How many parties commented on your plan at the hearing(s)? 3

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

Not applicable as of 8/19/2020. Any Public Comment forms received will be included with the Model Plan prior to submission to DHHS.

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

Not applicable as of 8/19/2020, as no Public Comments have been received yet.

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

12.1 How many fair hearings did the grantee have in the prior Federal fiscal year? 0

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

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

Not applicable

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

Each applicant must be notified in writing at the time of application, of the right to a hearing. This is on the Notice of Action form. If the claimants dissatisfaction cannot be resolved within the Community Services Department the hearing will move up to the Klamath Tribes General Manager's level. Their decision will be final. Issues that can be appealed are the action, proposed action, lack of action on the part of the Tribes. Payment amounts are not appealable.

12.5 When and how are applicants informed of these rights?

Applicants are advised verbally and in writing at the time of application as to their right to an appeal.

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

Appeals must be submitted in writing within 15 days of the verbal complaint or appeal. At that time an appeal will be scheduled with the CSD Director, who will attempt to settle the appeal at his or her level. If the appeal cannot be settled at this level it will be forwarded to the General Manager's level and a meeting will be scheduled and a decision will be made and the claimant will be notified of his/her decision verbally and in writing at this time.

12.7 When and how are applicants informed of these rights?

Applicants are advised verbally and in writing at the time of applicationas to their right to an appeal. The appeal process is also detailed in the Notice of Action form.

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

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

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

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

Clients receive several types of energy saving information and supplies; and are referred to the Klamath Lake Community Action Services (KLCAS) for home energy education classes and budgeting education. The Coordinator may also conduct one or two Energy Saving Classes during the LIHEAP year.

Types of items which are included in the "Weatherization Kits" are: LED lightbulbs, emergency Latern (in need of power outages), Fridge/Dryer Duster, Window Kits, Outside Faucet Covers, Door Sweeps, Draft Guards, and of course Tips to save on Energy Costs. The kits are valued at roughly $25 each.

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

We develop an annual budget and recieve budget reports monthly as well as keep cuff acounts on all expenditures.

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

Client household utilize the "energy packs" made available to them and apply the energy saving information; the impact is significant on their overall energy usage.

13.4 Describe the level ofdirect benefitsprovided to those households in the previous Federal fiscal year.

N/A

13.5 How many households applied for these services? 250

13.6 How many households received these services? 250

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

Section 14 - Leveraging Incentive Program ,2607A

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Section 14:Leveraging Incentive Program, 2607(A)

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

○ Yes ◉ No

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

Not Applicable (N/A)

14.3 For each type of resource and/or benefit to be leveraged in the upcoming year that will meet the requirements of45 C.F.R. § 96.87(d)(2)(iii), describe the following:

Resource	What is the type of resource or benefit ?	What is the source(s) of the resource ?	How will the resource be integrated and coordinated with LIHEAP?
1	N/A	N/A	N/A

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

Section 15 - Training

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Section 15: Training

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

a. Grantee Staff:

- [x] **Formal training on grantee policies and procedures**

How often?

- [x] **Annually**
- [ ] **Biannually**
- [x] **As needed**
- [ ] **Other - Describe:**

- [x] **Employees are provided with policy manual**
- [ ] **Other-Describe:**

b. Local Agencies:

- [x] **Formal training conference**

How often?

- [x] **Annually**
- [ ] **Biannually**
- [ ] **As needed**
- [x] **Other - Describe:** As specific training on energy services are available

- [x] **On-site training**

How often?

- [ ] **Annually**
- [ ] **Biannually**
- [x] **As needed**
- [ ] **Other - Describe:**

- [x] **Employees are provided with policy manual**
- [x] **Other - Describe**

Energy Assistance Coordinator and Program Support Specialist meet with Department Director on a bi-weekly basis. Coordinator will attend Oregon State Energy Assistance meetings and training.

c. Vendors

- [ ] **Formal training conference**

How often?

- [ ] **Annually**
- [ ] **Biannually**

- [x] **Other - Describe:** Discussions of the Vendor Energy Supplier contracts are held annually
- [x] **Policies communicated through vendor agreements**
- [ ] **Policies are outlined in a vendor manual**
- [ ] **Other - Describe:**

Department Director and Coordinator follow Procurement Policy for contracting and work closely with the Grant and Contract Compliance Officer to get contract completed in accordance with policies and procedures.

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)

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: 09/30/2020

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.

Not Applicable - Required for States Only.

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.

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

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

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.

- [x] Online Fraud Reporting
- [ ] Dedicated Fraud Reporting Hotline
- [x] 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
- [x] 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	[x]	Required	[x]	Required	[x]	Required
	[ ]	Requested	[ ]	Requested	[ ]	Requested
Social Security Number (Without actual Card)	[ ]	Required	[ ]	Required	[ ]	Required
	[x]	Requested	[x]	Requested	[x]	Requested
Government-issued identification card (i.e.: driver's license, state ID,	[x]	Required	[x]	Required	[x]	Required

	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	Proof of enrollment in a federally recognized Tribe for at least one member of the household. Certificate of Indian Blood does not necessarily serve as proof of enrollment, as it may only prove descendancy.	☐	☑	☐	☑	☑	☐

b. Describe any exceptions to the above policies.

If the documents detailed below (which were received in previous federal fiscal year(s) application for assistance), are still valid, the Coordinator may use them to confirm eligibilty for the current federal fiscal year:

- Photo ID for all Adults in Household
- Proof of Tribal Enrollment in a federally recongized Tribe, for at least one member of the household
- Social Security Card copies for all members of household. If a member was under 1 years of age, at time of application, SS card copy is not required.

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:**

Social Security numbers can be identified on the applicant's award letter from Social Security Administration.

The State of Oregon OPUS system also retains Social Security Number information and the identify of the individual. The OPUS system can pull up any application in the system - statewide - as long as the intake worker has the applicant's Social Security number.

17.4. Citizenship/Legal Residency Verification

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

- ☐ **Clients sign an attestation of citizenship or legal residency**
- ☑ **Client's submission of Social Security cards is accepted as proof of legal residency**
- ☑ **Noncitizens must provide documentation of immigration status**
- ☐ **Citizens must provide a copy of their birth certificate, naturalization papers, or passport**
- ☐ **Noncitizens are verified through the SAVE system**
- ☑ **Tribal members are verified through Tribal enrollment records/Tribal ID card**
- ☐ **Other - Describe:**

17.5. Income Verification

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

- [x] **Require documentation of income for all adult household members**
  - [x] **Pay stubs**
  - [x] **Social Security award letters**
  - [ ] **Bank statements**
  - [x] **Tax statements**
  - [x] **Zero-income statements**
  - [x] **Unemployment Insurance letters**
  - [x] **Other - Describe:**

    If self-employeed, tax statements will be required.

    Bank statements are not an allowable proof of income, as they may reflect net earnings (not gross) and/or an individual may split income between multiple bank accounts, and provide verification for only one bank account. Therefore, the bank account is not an accurate reflection of countable, annual gross income.

- [x] **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**
  - [x] **Other - Describe:**

    Cross reference income which is stored in the State of Oregon OPUS system for every member of a household, from previous (or current) federal fiscal year applications for assistnace.

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.

- [x] **Policy in place prohibiting release of information without written consent**
- [x] **Grantee LIHEAP database includes privacy/confidentiality safeguards**
- [x] **Employee training on confidentiality for:**
  - [x] **Grantee employees**
  - [ ] **Local agencies/district offices**
- [x] **Employees must sign confidentiality agreement**
  - [x] **Grantee employees**
  - [ ] **Local agencies/district offices**
- [x] **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.

- [x] **All vendors must register with the State/Tribe.**
- [x] **All vendors must supply a valid SSN or TIN/W-9 form**
- [x] **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.

- [x] **Applicants required to submit proof of physical residency**
- [x] **Applicants must submit current utility bill**
- [x] **Data exchange with utilities that verifies:**
  - [x] **Account ownership**
  - [x] **Consumption**
  - [x] **Balances**
  - [x] **Payment history**
  - [x] **Account is properly credited with benefit**
  - [x] **Other - Describe:**

    Bills for Utility Accounts must match the address listed on the Application for assistance. The account should be in the name of the Applicant. If it is not in the Applicant's name, a written explanation is required on the application and detailed within the OPUS system.
- [x] **Centralized computer system/database tracks payments to all utilities**
- [x] **Centralized computer system automatically generates benefit level**
- [x] **Separation of duties between intake and payment approval**
- [x] **Payments coordinated among other energy assistance programs to avoid duplication of payments**
- [x] **Payments to utilities and invoices from utilities are reviewed for accuracy**
- [x] **Computer databases are periodically reviewed to verify accuracy and timeliness of payments made to utilities**
- [x] **Direct payment to households are made in limited cases only**
- [x] **Procedures are in place to require prompt refunds from utilities in cases of account closure**
- [x] **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.

- [x] **Vendors are checked against an approved vendors list**
- [x] **Centralized computer system/database is used to track payments to all vendors**
- [x] **Clients are relied on for reports of non-delivery or partial delivery**
- [ ] **Two-party checks are issued naming client and vendor**
- [x] **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**
- [x] **Vendor agreements specify requirements selected above, and provide enforcement mechanism**
- [x] **Other - Describe:**

  In cases were a direct payment to a client for firewood, the applicant will be required to submit receipts within 60 days of check acceptance by the client. Department may confirm with the Finance Department if a check payable to a client if and when its been cashed.

  Failure to provide receipts of firewood purchase will:

  1. Household ineligible for crisis payment; and
  2. Future "Direct Payments to Client" will not be authorized.

17.10. Investigations and Prosecutions

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

have committed fraud. Select all that apply.
☐ Refer to state Inspector General
☐ Refer to local prosecutor or state Attorney General
☑ Refer to US DHHS Inspector General (including referral to OIG hotline)
☑ Local agencies/district offices or Grantee conduct investigation of fraud complaints from public
☐ Grantee attempts collection of improper payments. If so, describe the recoupment process
☑ Clients found to have committed fraud are banned from LIHEAP assistance. For how long is a household banned? One year
☑ 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 pint 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)

PO Box 436 * Address Line 1
501 S. Chiloquin Blvd. Address Line 2
Address Line 3

Chiloquin * City	OR * State	97624 * 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 disbursal of and accounting for Federal funds paid to the State under this title, including procedures for monitoring the assistance provided under this title, and provide that the State will comply with the provisions of chapter 75 of title 31, United States Code (commonly known as the "Single Audit Act");

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

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

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

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

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

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

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

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).**