

## **DETAILED MODEL PLAN (LIHEAP)**

**Program Name:** Low Income Home Energy Assistance

**Grantee Name:** STATE OF RHODE ISLAND OFFICE OF ENERGY RESOURCES

**Report Name:** DETAILED MODEL PLAN (LIHEAP) Revision # 1

**Report Period:** 10/01/2024 to 09/30/2025


**Report Status:** Submission Accepted by CO (Revision #1)

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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.: 0970-013 Expiration Date: 02/28/2027							
<b>LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP)</b> <b>MODEL PLAN</b> <b>SF - 424 - MANDATORY</b>									
<b>* 1.a. Type of Submission:</b> <input checked="" type="radio"/> Plan	<b>* 1.b. Frequency:</b> <input checked="" type="radio"/> Annual	<b>* 1.c. Consolidated Application/ Plan/Funding Request?</b>  <b>Explanation:</b>	<b>* 1.d. Version:</b> <input checked="" type="radio"/> Initial <input type="radio"/> Resubmission <input type="radio"/> Revision <input type="radio"/> Update						
		<b>2. Date Received:</b>	<b>State Use Only:</b>						
		<b>3. Applicant Identifier:</b>							
		<b>4a. Unique Entity Identifier (UEI)</b> FNVNBKCMS47							
		<b>4b. Federal Award Identifier:</b> 1056000522A3	<b>5. Date Received By State:</b>						
			<b>6. State Application Identifier:</b>						
<b>7. APPLICANT INFORMATION</b>									
<b>* a. Legal Name:</b> The State of Rhode Island									
<b>* b. Address:</b>									
<b>* Street 1:</b>	74 WEST ROAD, HAZARD BUILDING	<b>Street 2:</b>							
<b>* City:</b>	CRANSTON	<b>County:</b>	Providence						
<b>* State:</b>	RI	<b>Province:</b>							
<b>* Country:</b>	United States	<b>* Zip / Postal Code:</b>	02860 -						
<b>c. Organizational Unit:</b>									
<b>Department Name:</b> RI Department of Human Services		<b>Division Name:</b> Community Partnerships							
<b>d. Name and contact information of person to be contacted on matters involving this application: (person will be listed on Notice of Funding Awards and on the U.S. Department of Health and Human Services' LIHEAP contact list webpage)</b>									
<b>* First Name:</b> Deirdre		<b>* Last Name:</b> Weedon							
<b>Title:</b> LIHEAP Coordinator		<b>Organizational Affiliation:</b> State of Rhode Island, Departm							
<b>* Telephone Number:</b> 4014626424		<b>Fax Number</b>							
<b>* Email:</b> Deirdre.Weedon@dhs.ri.gov									
<b>* 8. TYPE OF APPLICANT:</b> A: State Government									
<b>* a. Is the applicant a Tribal Consortium:</b> <input type="radio"/> Yes <input checked="" type="radio"/> No									
<b>* b. If yes please attach at least one the following documentation:</b>									
<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 33%;"></td> <td style="width: 33%; text-align: center;">           Catalog of Federal Domestic Assistance Number:         </td> <td style="width: 33%; text-align: center;">           CFDA Title:         </td> </tr> <tr> <td style="padding: 5px;"> <b>9. CFDA Numbers and Titles</b> </td> <td style="padding: 5px;">93.568</td> <td style="padding: 5px;">Low-Income Home Energy Assistance Program</td> </tr> </table>					Catalog of Federal Domestic Assistance Number:	CFDA Title:	<b>9. CFDA Numbers and Titles</b>	93.568	Low-Income Home Energy Assistance Program
	Catalog of Federal Domestic Assistance Number:	CFDA Title:							
<b>9. CFDA Numbers and Titles</b>	93.568	Low-Income Home Energy Assistance Program							
<b>10. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:</b> Low Income Home Energy Assistance Program									
<b>11. AREAS AFFECTED BY FUNDING:</b> Statewide									
<b>12. CONGRESSIONAL DISTRICTS OF APPLICANT:</b> 1									
<b>13. FUNDING PERIOD:</b>									
<b>a. Start Date:</b> 10/01/2024		<b>b. End Date:</b> 09/30/2025							
<b>* 14. IS SUBMISSION SUBJECT TO REVIEW BY STATE UNDER EXECUTIVE ORDER 12372 PROCESS?</b>									
a. This submission was made available to the State under 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.	
*15. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?	
<input type="radio"/> YES <input checked="" type="radio"/> NO	
If Yes, explain:	
16. By signing this application, I certify (1) to the statements contained in the list of certifications** and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001) <b>**I Agree</b> <input checked="" type="checkbox"/>	
** 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.	
17a. Typed or Printed Name and Title of Authorized Certifying Official Deirdre Weedon	17c. Telephone (area code, number and extension)  17d. Email Address Deirdre.Weedon@dhs.ri.gov
17b. Signature of Authorized Certifying Official 	17e. Date Report Submitted (Month, Day, Year) 09/16/2024

## Section 1 - Program Components

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

August 1987, revised 05/92, 02/95, 03/96, 12/98, 11/01  
OMB Clearance No.: 0970-013  
Expiration Date: 02/28/2027

### LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP) MODEL PLAN Section 1 - Program Components

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. Public reporting burden for this collection of information is estimated to average 1 hour per response, including the time for reviewing instructions, gathering and maintaining the data needed, and reviewing the collection of information. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.

## Section 1 Program Components

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

1.1 Check which components you will operate under the LIHEAP program. (Note: You must provide information for each component designated here as requested elsewhere in this plan.)		Dates of Operation	
		Start Date	End Date
<input checked="" type="checkbox"/>	Heating assistance	10/01/2024	09/30/2025
<input type="checkbox"/>	Cooling assistance		
<input type="checkbox"/>	Summer crisis assistance		
<input checked="" type="checkbox"/>	Winter crisis assistance	10/01/2024	05/01/2025
<input type="checkbox"/>	Year-round crisis assistance		
<input checked="" type="checkbox"/>	Weatherization assistance	10/01/2024	09/30/2025

Provide further explanation for the dates of operation, if necessary

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

1.2 Estimate what amount of available LIHEAP funds will be used for each component that you will operate: The total of all percentages must add up to 100%.	Percentage ( % )	Prior year totals
Heating assistance	58.00%	65.00%
Cooling assistance	0.00%	0.00%
Summer crisis assistance	0.00%	11.00%
Winter crisis assistance	11.00%	0.00%
Year-round crisis assistance	0.00%	0.00%
Weatherization assistance	12.00%	14.00%
Carryover to the following federal fiscal year	8.00%	0.00%
Administrative and planning costs	8.00%	8.00%
Services to reduce home energy needs including needs assessment (Assurance 16)	3.00%	2.00%
Used to develop and implement leveraging activities	0.00%	0.00%
<b>TOTAL</b>	<b>100.00%</b>	<b>100.00%</b>

Tribal grant recipients: direct-grant tribes, tribal organizations, or territories with allotments of \$20,000 or less may use for planning and administration up to 20% of the funds payable. Grant recipients that are direct grant tribes, tribal organizations, or territories with allotments over \$20,000 may use for planning and administration purposes up to 20% of the first \$20,000 (or \$4,000) plus 10% of the funds payable that exceeds \$20,000. Any administrative costs in excess of these limits must be paid from non-federal sources.

<b>1.3 The funds reserved for winter crisis assistance that have not been expended by March 15 will be reprogrammed to:</b>				
<input type="checkbox"/>	Heating assistance	<input type="checkbox"/>	Cooling assistance	
<input type="checkbox"/>	Weatherization assistance	<input checked="" type="checkbox"/>	<b>Other (specify):</b> Crisis assistance grants can be certified through May 1, 2025.	
<b>Categorical Eligibility, 2605(b)(2)(A) - Assurance 2, 2605(c)(1)(A), 2605(b)(8A) - Assurance 8</b>				
<b>1.4 Do you consider households categorically eligible if at least one household member receives at least one of the following categories of benefits in the left column below?</b> <input type="radio"/> Yes <input checked="" type="radio"/> No				
<b>If you answered "Yes" to question 1.4, you must complete the table below and answer questions 1.5 and 1.6.</b>				
	<b>Heating</b>	<b>Cooling</b>	<b>Crisis</b>	<b>Weatherization</b>
TANF	<input type="radio"/> Yes <input type="radio"/> No	<input type="radio"/> Yes <input type="radio"/> No	<input type="radio"/> Yes <input type="radio"/> No	<input type="radio"/> Yes <input type="radio"/> No
SSI	<input type="radio"/> Yes <input type="radio"/> No	<input type="radio"/> Yes <input type="radio"/> No	<input type="radio"/> Yes <input type="radio"/> No	<input type="radio"/> Yes <input type="radio"/> No
SNAP	<input type="radio"/> Yes <input type="radio"/> No	<input type="radio"/> Yes <input type="radio"/> No	<input type="radio"/> Yes <input type="radio"/> No	<input type="radio"/> Yes <input type="radio"/> No
Means-tested Veterans Programs	<input type="radio"/> Yes <input type="radio"/> No	<input type="radio"/> Yes <input type="radio"/> No	<input type="radio"/> Yes <input type="radio"/> No	<input type="radio"/> Yes <input type="radio"/> No
<b>1.4a. - Provide your definition of categorical eligibility.</b>				
<b>1.5 Do you automatically enroll households without a direct annual application?</b> <input type="radio"/> Yes <input type="radio"/> No				
<b>If Yes, explain:</b>				
<b>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?</b>				
<b>SNAP Nominal Payments</b>				
<b>1.7a Do you allocate LIHEAP funds toward a nominal payment for SNAP households?</b> <input checked="" type="radio"/> Yes <input type="radio"/> No				
<b>If you answered "Yes" to question 1.7a, you must provide a response to questions 1.7b, 1.7c, and 1.7d.</b>				
<b>1.7b Amount of Nominal Assistance:</b> \$20.01				
<b>1.7c Frequency of Assistance</b>				
<input checked="" type="checkbox"/>	Once Per Year			
<input type="checkbox"/>	Once every five years			
<input type="checkbox"/>	Other - Describe:			
<b>1.7d How do you confirm that the household receiving a nominal payment has an energy cost or need?</b>				
The eligibility system used for SNAP applications (RI Bridges) is used to confirm that the household receiving nominal payments have an energy cost or need. All households that receive the nominal LIHEAP payment live in subsidized housing and the heat is included in the rent, therefore these households have an energy cost.				
<b>Determination of Eligibility - Countable Income</b>				
<b>1.8. In determining a household's income eligibility for LIHEAP, do you use gross income or net income?</b>				
<input checked="" type="checkbox"/>	Gross Income			
<input type="checkbox"/>	Net Income			
<input type="checkbox"/>	Other - Describe			
<b>1.9. Select all the applicable forms of countable income used to determine a household's income eligibility for LIHEAP</b>				
<input checked="" type="checkbox"/>	Wages			
<input checked="" type="checkbox"/>	Self - Employment Income			
<input checked="" type="checkbox"/>	Contract Income			
<input checked="" type="checkbox"/>	Payments from mortgage or Sales Contracts			

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

<input type="checkbox"/>	
<input type="checkbox"/>	Reimbursements (for mileage, gas, lodging, meals, etc.)
<input type="checkbox"/>	Other
<p><b>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.</b></p>	
1.10 Do you have an online application process <input checked="" type="radio"/> Yes <input type="radio"/> No	
1.10a If yes, describe the type of online application (Select all boxes that apply)	
<input checked="" type="checkbox"/>	A PDF version of the application is available online and can be downloaded, filled out and mailed in for processing.
<input checked="" type="checkbox"/>	A state-wide online application that allows a customer to complete data entry and submit an application electronically for processing.
<input type="checkbox"/>	One or more locally available online applications that allows a customer to complete data entry and submit an application electronically for processing.
<input type="checkbox"/>	Online application that is also mobile friendly
<input type="checkbox"/>	Other, please describe
Please include a link(s) to a statewide application, if available:	
1.10b Can all program components be applied for online? <input type="radio"/> Yes <input checked="" type="radio"/> No	
<p>If no, explain which components can and cannot be applied for online.</p> <p>Crisis request cannot be made online. Weatherization requests cannot be made online. There are questions about each component on the LIHEAP application that will prompt LIHEAP intake or Weatherization staff to reach out to applicant.</p>	
1.11 Do you have a process for conducting and completing applications by phone <input type="radio"/> Yes <input checked="" type="radio"/> No	
1.12 Do you or any of your subrecipients require in person appointments in order to apply <input type="radio"/> Yes <input checked="" type="radio"/> No	
<p>If yes, please provide more information regarding why in-person appointments are required and in what circumstances they are required.</p> <p><a href="https://pro.hancocksoftware.com/RI_ClientSelfIntake/?Agency=DHS">https://pro.hancocksoftware.com/RI_ClientSelfIntake/?Agency=DHS</a></p> <p>We use QR code on our outreach material and there is a link on each agency website.</p>	
1.13 How can applicants submit documentation for verification? Select all that apply:	
<input checked="" type="checkbox"/>	In-person
<input checked="" type="checkbox"/>	Mail
<input checked="" type="checkbox"/>	Email
<input checked="" type="checkbox"/>	Portal application
<input type="checkbox"/>	Other, please describe

Hidden for Section 1

## 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  
OMB Clearance No.: 0970-013  
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### LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP) MODEL PLAN Section 2 - Heating Assistance

#### 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 Assistance? ☒ Yes ☐ No

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

Do you require an Assets test? ☐ Yes ☒ No

If yes, describe: Do you have additional/differing eligibility policies for:

Renters? ☐ Yes ☒ No

If yes, describe:

Renters Living in subsidized housing? ☐ Yes ☒ No

If yes, describe:

Renters with utilities included in the rent? ☐ Yes ☒ No

If yes, describe:

Do you give priority in eligibility to:

Older Adults (60 years or older)? ☒ Yes ☐ No

If yes, describe:

If funding for LIHEAP grants was running low, we would give priority to households with an elderly, disabled, or young child member. Households with an elderly, disabled, or young child member are given priority when crisis grants are processed to restore service, prevent a shut off, or expediate delivery.

Individuals with a disability? ☒ Yes ☐ No

If yes, describe:

If funding for LIHEAP grants was running low, we would give priority to households with an elderly, disabled, or young child member. Households with an elderly, disabled, or young child member are given priority when crisis grants are processed to restore service, prevent a shut off, or expediate delivery.

Young children? ☒ Yes ☐ No

If yes, describe:

If funding for LIHEAP grants was running low, we would give priority to households with an elderly, disabled, or young child member. Households with an elderly, disabled, or young child member are given priority when crisis grants are processed to restore service, prevent a shut off, or expediate delivery.

Households with high energy burdens? ☐ Yes ☒ No

If yes, describe:

Other? ☐ Yes ☒ No

If yes, describe:

Explanations of policies for each "yes" checked above:

2.2 Households must have a heating bill or must be responsible for the heating costs if the heat bill is in their landlord's name (Heat in Rent).

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

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

Grant renewal forms are mailed out in September to help those most vulnerable by giving them extra time to apply.

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

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

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

**2.6 Describe estimated benefit levels for the fiscal year for which this plan applies. Please note: the maximum and minimum benefits must be shown in the payment matrix.**

Minimum Benefit	\$64	Maximum Benefit	\$1,148
-----------------	------	-----------------	---------

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

If yes, describe.

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

## Section 3 - COOLING ASSISTANCE

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

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### LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP) MODEL PLAN Section 3 - Cooling Assistance

#### 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			0.00%

3.2 Do you have additional eligibility requirements for Cooling assistance? ☐ Yes ☒ No

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

Do you require an Assets test? ☐ Yes ☒ No

If yes, describe:

Do you have additional/differing eligibility policies for:

Renters? ☐ Yes ☒ No

If yes, describe:

Renters Living in subsidized housing? ☐ Yes ☒ No

If yes, describe:

Renters with utilities included in the rent? ☐ Yes ☒ No

If yes, describe:

Do you give priority in eligibility to:

Older Adults (60 years or older)? ☐ Yes ☒ No

If yes, describe:

Individuals with a disability? ☐ Yes ☒ No

If yes, describe:

Young children? ☐ Yes ☒ No

If yes, describe:

Households with high energy burdens? ☐ Yes ☒ No

If yes, describe:

Other? ☐ Yes ☒ No

If yes, describe:

Explanations of policies for each "yes" checked above:

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

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

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

<input type="checkbox"/>	Income
<input type="checkbox"/>	Family (household) size
<input type="checkbox"/>	Home energy cost or need:
<input type="checkbox"/>	Fuel type
<input type="checkbox"/>	Climate/region
<input type="checkbox"/>	Individual bill

<input type="checkbox"/>	Dwelling type			
<input type="checkbox"/>	Energy burden (% of income spent on home energy)			
<input type="checkbox"/>	Energy need			
<input type="checkbox"/>	Other - Describe:			
Benefit Levels, 2605(b)(5) - Assurance 5, 2605(c)(1)(B)				
3.6 Describe estimated benefit levels for the fiscal year for which this plan applies. <i>Please note: the maximum and minimum benefits must be shown in the payment matrix.</i>				
Minimum Benefit	<table border="1"> <tr> <td>\$0</td> <td>Maximum Benefit</td> <td>\$0</td> </tr> </table>	\$0	Maximum Benefit	\$0
\$0	Maximum Benefit	\$0		
3.7 Do you provide in-kind (e.g., fans, air conditioners) and/or other forms of benefits? <input type="radio"/> Yes <input checked="" type="radio"/> No				
If yes, describe.				
<p><b>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.</b></p>				

## Section 4 - CRISIS ASSISTANCE

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

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### LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP) MODEL PLAN Section 4 - Crisis Assistance

#### 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.**

**If you administer multiple crisis assistance programs (winter, summer, and/or year-round), Include all program definitions.**

A crisis is considered to occur when a household is unable to maintain heat in their home.

This may be the result of:

1. Heat is shut off due to failure to pay a regulated utility bill.
2. Inability to pay for deliverable fuel.
3. The breakdown of a heating system.

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

A life-threatening crisis is considered to occur when the household is unable to maintain heat in their home AND the outside temperature is currently at or is forecasted to be below 20 degrees Fahrenheit within the next 24 hours as reported by a weather service such as the Weather Channel.

This may be the result of:

1. Heat is shut off due to failure to pay a regulated utility bill.
2. Inability to pay for deliverable fuel.
3. The breakdown of a heating system.

**Crisis Requirement, 2604(c)**

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

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

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

	Winter Crisis	Summer Crisis	Year-Round Crisis
<b>4.6 Do you have additional eligibility requirements for Crisis Assistance?</b>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**4.7 Check the appropriate boxes below to indicate type(s) of assistance provided**

0

<b>Do you require an Assets test?</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Do you give priority in eligibility to:</b>			
Older Adults (60 years or older)?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Individuals with a disability?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Young Children?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Households with high energy burdens?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other (Specify):	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**In Order to receive crisis assistance:**

<b>Must the household have received a shut-off notice or have a near empty tank?</b>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Must the household have been shut off or have an empty tank?</b>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Must the household have exhausted their regular heating benefit?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Must renters with heating costs included in their rent have received an eviction notice?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Must heating/cooling be medically necessary?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Must the household have non-working heating or cooling equipment?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other (Specify):	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Do you have additional/differing eligibility policies for:			
Renters?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Renters living in subsidized housing?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Renters with utilities included in the rent?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Explanations of policies for each "yes" checked above:			
<p>Deliverable fuel crisis grants are issued if a household has less than 1/4 tank of deliverable fuel left (or equivalent) and \$400 or less balance of their non crisis grant.</p> <p>Utility crisis grants are issued if a client has a utility shut off or has moved to a new residence and cannot get utilities turned on without making a payment towards back balance.</p> <p>Heating systems crisis assistance is issued if heating system is inoperable.</p> <p>In cases of limited funding, priority will be given to households with an elderly, disabled, or young child member if necessary.</p>			
Determination of Benefits			
4.8 How do you handle crisis situations?			
<input checked="" type="checkbox"/>	Separate component		
<input type="checkbox"/>	Benefit Fast Track, no separate amount of crisis funds is issued. Rather benefits are issued to crisis customers within crisis response time frames.		
<input type="checkbox"/>	Other - Describe:		
4.9 If you have a separate component, how do you determine crisis assistance benefits?			
<input type="checkbox"/>	Amount to resolve the crisis. \$0		
<input checked="" type="checkbox"/>	Other - Describe:		
	<p>Deliverable households receive 100 gallons of fuel</p> <p>Utility households receive the percentage needed to have their utilities turned back on</p>		
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?			
<input checked="" type="radio"/> Yes <input type="radio"/> No Explain.			
<p>To receive a crisis grant, a household must first have applied and been certified for a primary grant. Therefore, a household would only need to call the subrecipient to apply for a crisis grant. They do not need to travel to the subrecipient's location to apply for a crisis grant since they have already been found eligible for LIHEAP. In addition, all household can apply for a primary grant online or through the mail.</p>			
4.11 Do you provide individuals who are individuals with a disability the means to:			
Submit applications for crisis benefits without leaving their homes?			
<input checked="" type="radio"/> Yes <input type="radio"/> No			
If No, explain.			
<p>To receive a crisis grant, a household must first have applied and been certified for a primary grant. Therefore, a household with a disabled member would only need to call the subrecipient to apply for a crisis grant. In addition, all household can apply for a primary grant online or through the mail.</p>			
Travel to the sites at which applications for crisis assistance are accepted?			
<input type="radio"/> Yes <input checked="" type="radio"/> No			
If No, explain.			
<p>To receive a crisis grant, a household must first have applied and been certified for a primary grant. Therefore, a household would only need to call the subrecipient to apply for a crisis grant. They do not need to travel to the subrecipient's location to apply for a crisis grant, so assisting applicants with travel to the subrecipients is not necessary. In addition, all household can apply for a primary grant online or through the</p>			

mail.			
If you answered "No" to both options in question 4.11, please explain alternative means of intake to those who are homebound or physically disabled?			
Benefit Levels, 2605(c)(1)(B)			
4.12 Indicate the maximum benefit for each type of crisis assistance offered.			
Winter Crisis	\$1,500.00	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?			
<input type="radio"/> Yes <input checked="" type="radio"/> No   If yes, Describe			
All household can apply for a primary grant online or through the mail. Once a household is certified for a primary grant, they can apply for a crisis grant over the phone.			
4.14 Do you provide for equipment repair or replacement using crisis funds?			
<input checked="" type="radio"/> Yes <input type="radio"/> 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	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Heating system replacement	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Cooling system repair	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Cooling system replacement	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Wood stove purchase	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Pellet stove purchase	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Solar panel(s)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Utility poles / gas line hook-ups	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other (Specify):	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.16 Do any of the utility vendors you work with enforce a moratorium on shut offs?			
<input checked="" type="radio"/> Yes <input type="radio"/> No			
If you responded "Yes" to question 4.16, you must respond to question 4.17.			
4.17 Describe the terms of the moratorium and any special dispensation received by LIHEAP clients during or after the moratorium period.			
Between November 1 and April 15 each year, households deemed eligible for the discounted rate cannot have their utilities shut off by RI Energy, the state's largest utility provider of electricity and natural gas.			
4.18 If you experience a natural disaster, do you intend to utilize LIHEAP crisis funds to address disaster related crisis situations? <input type="radio"/> Yes <input checked="" type="radio"/> No			
If yes, describe			
Not at this time, but plan to develop on a disaster plan and may change this answer at some point in FFY 2025.			
If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.			

## Section 5 - WEATHERIZATION ASSISTANCE

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

August 1987, revised 05/92, 02/95, 03/96, 12/98, 11/01  
OMB Clearance No.: 0970-013  
Expiration Date: 02/28/2027

### LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP) MODEL PLAN Section 5 - Weatherization Assistance

#### 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	State Median Income	60.00%

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 and attach a copy of the Internal Agreement or Contract.

5.4 Is there a separate monitoring protocol for weatherization? ☒ Yes ☐ No

#### WEATHERIZATION - Types of Rules

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

- ☐ Entirely under LIHEAP (not DOE) rules
- ☐ Entirely under DOE WAP (not LIHEAP) rules
- ☐ Mostly under LIHEAP rules with the following DOE WAP rule(s) where LIHEAP and WAP rules differ (Check all that apply):
- ☐ Income Threshold
- ☐ Weatherization of entire multi-family housing structure is permitted if at least 66% of units (50% in 2- & 4-unit buildings) are eligible units or will become eligible within 180 days
- ☐ Weatherize shelters temporarily housing primarily low income persons (excluding nursing homes, prisons, and similar institutional care facilities).
- ☐ Other - Describe:
- ☒ Mostly under DOE WAP rules, with the following LIHEAP rule(s) where LIHEAP and WAP rules differ (Check all that apply.):
- ☒ Income Threshold
- ☒ Weatherization not subject to DOE WAP maximum statewide average cost per dwelling unit.
- ☒ Weatherization measures are not subject to DOE Savings to Investment Ratio (SIR ) standards.
- ☐ Other - Describe:

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	<input checked="" type="radio"/> Yes <input type="radio"/> No
Renters living in subsidized housing?	<input checked="" type="radio"/> Yes <input type="radio"/> No
Renters with utilities included in the rent?	<input type="radio"/> Yes <input checked="" type="radio"/> No

5.8 Do you give priority in eligibility to:

Older Adults?	<input checked="" type="radio"/> Yes <input type="radio"/> No
Individuals with a disability?	<input checked="" type="radio"/> Yes <input type="radio"/> No
Young Children?	<input checked="" type="radio"/> Yes <input type="radio"/> No
House holds with high energy	<input type="radio"/> Yes <input checked="" type="radio"/> No

burdens?		
Other?	<input type="radio"/> Yes <input checked="" type="radio"/> No	
<p>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.</p> <p>Work orders are prioritized in the software system by the household make up. If a household member meets one of the criteria (elderly, disabled, young child), the household will be moved up on the waiting list.</p>		
Benefit Levels		
5.9 Do you have a maximum LIHEAP weatherization benefit/expenditure per household? <input type="radio"/> Yes <input checked="" type="radio"/> No		
5.9a If yes, what is the maximum? \$0		
5.10 Do you use an Average Cost per Unit (ACPU). <input type="radio"/> Yes <input checked="" type="radio"/> No		
5.10a If so, what is the ACPU amount? \$0		
Types of Assistance, 2605(c)(1), (B) & (D)		
5.11 What LIHEAP weatherization measures do you provide ? (Check all categories that apply.)		
<input checked="" type="checkbox"/> Weatherization needs assessments/audits	<input checked="" type="checkbox"/> Energy related roof repair	
<input checked="" type="checkbox"/> Caulking and insulation	<input type="checkbox"/> Major appliance repairs	
<input checked="" type="checkbox"/> Storm windows	<input type="checkbox"/> Major appliance replacement	
<input checked="" type="checkbox"/> Furnace/heating system modifications/repairs	<input checked="" type="checkbox"/> Windows/sliding glass doors	
<input checked="" type="checkbox"/> Furnace replacement	<input checked="" type="checkbox"/> Doors	
<input type="checkbox"/> Cooling system modifications/repairs	<input type="checkbox"/> Water Heater	
<input type="checkbox"/> Water conservation measures	<input type="checkbox"/> Cooling system replacement	
<input type="checkbox"/> Roof top solar	<input type="checkbox"/> Community solar projects	
<input type="checkbox"/> Compact florescent light bulbs	<input type="checkbox"/> Other - Describe:	
<p><b>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.</b></p>		

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

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

August 1987, revised 05/92, 02/95, 03/96, 12/98, 11/01  
OMB Clearance No.: 0970-013  
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### LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP) MODEL PLAN Section 6 - Outreach

## 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:

- |                                     |   |
|-------------------------------------|---|
| <input checked="" type="checkbox"/> | Place posters/flyers in local and county social service offices, offices of aging, Social Security offices, VA, etc.  |
| <input checked="" type="checkbox"/> | Publish articles in local newspapers or broadcast media announcements.  |
| <input checked="" type="checkbox"/> | Include inserts in energy vendor billings to inform individuals of the availability of all types of LIHEAP assistance.  |
| <input checked="" type="checkbox"/> | Mass mailing(s) to prior-year LIHEAP recipients.  |
| <input checked="" type="checkbox"/> | Inform low income applicants of the availability of all types of LIHEAP assistance at application intake for other low-income programs.   |
| <input type="checkbox"/>            | Execute interagency agreements with other low-income program offices to perform outreach to target groups.  |
| <input checked="" type="checkbox"/> | Web Posting   |
| <input type="checkbox"/>            | Email   |
| <input type="checkbox"/>            | Texting   |
| <input checked="" type="checkbox"/> | Events  |
| <input checked="" type="checkbox"/> | Social Media  |
| <input type="checkbox"/>            | Other (specify):<br><br>In our social media we use QR codes that take applicants to the online application. We also use hash tages.<br><br>We offer training for community partners and government offices so that they can better direct their constituents to apply.<br><br>We hold LIHEAP clinics at City Halls, schools, and non-profits where people can come to apply for LIHEAP. |

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

## Section 7 - Coordination, 2605(b)(4) - Assurance 4

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.: 0970-013  
Expiration Date: 02/28/2027

### LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP) MODEL PLAN Section 7 - Coordination

#### Section 7: Coordination, 2605(b)(4) - Assurance 4

7.1 Describe how you will ensure that the LIHEAP program is coordinated with other programs available to low-income households (TANF, SSI, WAP, etc.).

<input type="checkbox"/>	Joint application for multiple programs (indicate programs included)
<input checked="" type="checkbox"/>	Intake referrals to/from other programs (indicate programs included) Community Action Agencies (subrecipients) notify applicants of other programs about LIHEAP. Intake refers LIHEAP applicants to other programs in their agency. Outreach works with various community partners, such as schools, health centers, and housing, to have them notify the people they serve how to apply for LIHEAP. RI DHS field offices have information about LIHEAP posted and staff refer people to LIHEAP when appropriate.
<input checked="" type="checkbox"/>	One - stop intake centers
<input checked="" type="checkbox"/>	Other - Describe:

The LIHEAP office has a process in place with the SNAP office (both programs within RI DHS) to outreach SNAP households with heating responsibility. SNAP household records including household income are migrated to the LIHEAP software system. Once the records are in the LIHEAP system, letters to the SNAP households are generated letting SNAP recipients know that they are income-eligible for LIHEAP. An abbreviated LIHEAP application is sent to them since we have their income migrated to our LIHEAP system. If their SNAP household size does not match their LIHEAP household size on the abbreviated application, we have the household fill out a full application. Otherwise, they can be certified with an abbreviated application.

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

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

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

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### LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP) MODEL PLAN Section 8 - Agency Designation

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

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

<input type="checkbox"/>	Administration Agency
<input type="checkbox"/>	Commerce Agency
<input type="checkbox"/>	Community Services Agency
<input type="checkbox"/>	Energy/Environment Agency
<input type="checkbox"/>	Housing Agency
<input checked="" type="checkbox"/>	State Department of Welfare (administers TANF, SNAP, and/or Medicaid)
<input type="checkbox"/>	Economic Development Agency
<input type="checkbox"/>	Other - Describe:

Include current list of subrecipient name, main office address (do not list P.O. Box), phone number, county(s) served, Congressional District, and UEI number. Used for Near hotline and OCS Service Provider Tool and clearinghouse.

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

If you selected "State Department of Welfare (administers TANF, SNAP, and/or Medicaid)" 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?

Community Action Agencies provide outreach and intake assistance for applicants seeking heating assistance.

8.3 How do you provide alternate outreach and intake for cooling assistance?>

Not applicable because RI DHS is not planning to offer a cooling component in FFY 2025.

8.4 How do you provide alternate outreach and intake for crisis assistance?

Community Action Agencies provide outreach and intake for applicants seeking crisis assistance. Applicants are informed of crisis grant availability at intake. LIHEAP fuel vendors are notified of crisis assistance.

8.5 LIHEAP Component Administration.	Heating	Cooling	Crisis	Weatherization
8.5a Who determines client eligibility?	Community Action	Non-Applicable	Community Action	Community Action

	Agencies		Agencies	Agencies
8.5b Who processes benefit payments to gas and electric vendors?	Community Action Agencies	Non-Applicable	Local County Government	
8.5c who processes benefit payments to bulk fuel vendors?	Community Action Agencies	Non-Applicable	Community Action Agencies	
8.5d Who performs installation of weatherization measures?				Community Action Agencies

**Include a current list of subrecipient(s) name, main office address (do not list P.O. Box), phone number, county(s) served, Congressional District, and UEI number.**

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?

The State currently uses delegated authority for LIHEAP contracts. The process follows federal guidelines for selecting Community Action Agencies.

8.7 How many local administering agencies do you use? 7

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 Grant recipient requirements for LIHEAP -

☐ Agency is under criminal investigation

☐ Added agency

☐ Agency closed

☐ Other - describe

8.10 If a subrecipient is no longer providing LIHEAP, are you aware of prior-year LIHEAP funds being mismanaged or misspent? ☐ Yes  
☒ No

8.10a If yes, please explain.

8.10b If you are aware, were other federal programs impacted such as CSBG, SSBG, Head Start, TANF, and Department of Energy Weatherization funding, etc. ☐ Yes ☒ No

8.10c If yes, please explain.

**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

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

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OMB Clearance No.: 0970-013  
Expiration Date: 02/28/2027

### LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP) MODEL PLAN Section 9 - Energy Suppliers

#### 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.

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

Confirmation letters are sent to the clients after applications have been approved and certified. The amount of the assistance is provided in the letter.

##### 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?

Participating vendors agree to this in the annual vendor agreement.

Vendors provide Community Action Agency with metered delivery slips for each delivery made using LIHEAP funds. Community Action Agencies enter the delivery amount into the software system used to manage LIHEAP. Remaining balances are tracked and applied to the next delivery. Remaining balance reports are sent to vendors until grant has been depleted.

##### 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?

Participating vendors agree to this in the annual vendor agreement. In the agreement, each vendor agrees that to ensure that LIHEAP households they service will be treated the same as their other customers. This provision is reinforced at required annual meeting/training. In vendor monitoring, we check the delivery ticket of a LIHEAP households and a non LIHEAP household from the same day.

##### 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.

Attach a copy of the template statewide vendor agreement or a policy that indicates local agreements must adhere to statewide policies and assurances.

**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

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

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OMB Clearance No.: 0970-013  
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### LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP) MODEL PLAN Section 10 - Program, Fiscal Monitoring, and Audit

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

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

An Excel spreadsheet is maintained to track obligations (earmarking) based on award restrictions and limits set by the submitted RI State Plan with expenditures broken down by categories, and drawdowns. This spreadsheet is reconciled to the state's financial system on a monthly basis.

##### 10.1a Provide your definitions of the following:

###### Obligation

When used in connection with a non-Federal entity's utilization of funds under a Federal award, obligations means orders placed for property and services, contracts and subawards made, and similar transactions during a given period that require payment by the non-Federal entity during the same or a future period.

###### Expenditures

Costs incurred during the fiscal year related to the acquisition of goods and services whether or not payment has been made.

###### Expenditure timeframe

Expenditures should be recognized upon the delivery of goods or services, including personal services, contractual services, capital outlay, interest on fund liabilities, materials and supplies, insurance, and rent.

###### Administrative costs

Administrative costs are expenses incurred by grant recipients or sub-recipients in support of the day-to-day operations of their organization. These overhead costs are the expenses that are not directly tied to a specific program purpose.

##### Audit Process

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

☐ Yes ☒ No

##### 10.2a - if yes, describe your auditor selection process.

The last completed, Single Audit was SFY23. LIHEAP was audited as a major program. The threshold for major programs varies year to year. For SFY23, LIHEAP was audited as a major program. The threshold for SFY23 was \$21,087,467 and can change annually to cover 66% of federal expenses in accordance with federal uniform guidance. It is not yet known what the threshold is for SFY24. Please see attached document (Section 10 Response to Review Completeness Question RI).

##### 10.3. Describe any audit findings of the grant recipient (i.e. State/Tribe/Territory) rising to the level of material weakness or reportable condition cited in the single audits, inspector general reviews, or other government agency reviews from the most recently audited fiscal year.

No Findings ☐

Finding	Type	Brief Summary	Resolved?	Action Taken
1	monitoring	DHS should modify subrecipient risk assessment procedures to include whether LIHEAP was tested as a major program in subrecipient Single Audits. DHS decided that all sub-recipients would be monitored regardless of whether LIHEAP has been audited as a major program. On-site fiscal monitoring of all subrecipients took place in June 2021 once COVID restrictions were lifted and agencies were back in their offices.	Yes	procedure/policy changes
2	reporting	DHS should use a series of line	Yes	procedure/policy changes

		sequences to identify and track expenditure categories and utilize cost centers to differentiate grant awards. DHS distinguishes the federal award year in contracts, agency approval forms (buck sheets), and identifies earmarkings and award years in naming conventions in invoices. DHS has also created sub accounts and costs centers within the LIHEAP Line Account to facilitate tracking earmarkings and award years.		
3	reporting	DHS should ensure the data in LIHEAP Hancock is accurate and the data in the reports is supported by Hancock reports. Allow more time for review of federal reports. DHS had a major upgrade in Hancock in July 2020. Reporting and exports of data is more robust.	Yes	procedure/policy changes
4	reporting	DHS should require the software vendor to have an SOC examination performed to provide assurance of the operational effectiveness and data integrity of the application. Password policy has been added (every 90 days requires password change). The SOC report for Hancock Software is completed.	Yes	procedure/policy changes

**10.4. Audits of Local Administering Agencies**

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

☒ Local agencies/district offices are required to have an annual audit in compliance with Single Audit Act and OMB Circular A-133

☐ Local agencies/district offices are required to have an annual audit (other than A-133)

☐ Local agencies/district offices' A-133 or other independent audits are reviewed by Grant recipient as part of compliance process.

☒ Grant recipient conducts fiscal and program monitoring of local agencies/district offices

☐ Local agencies and district offices are required to have an annual audit in compliance with Single Audit Act and OMB Circular A-133

**Compliance Monitoring**

**10.5. Describe your monitoring process for compliance at each level below. Check all that apply.**

Grant recipients have a policy in place for appropriate separation of duties and internal controls.

☐ Internal program review

☒ Departmental oversight

☒ Secondary review of invoices and payments

☐ Other program review mechanisms are in place. Describe:

**Local Administering Agencies/District Offices:**

☐ On - site evaluation

☐ Annual program review

☒ Monitoring through central database

☐ Desk reviews

☒ Client File Testing/Sampling

☒ Other program review mechanisms are in place. Describe:

Financial transactions are reviewed and tested. A policy and procedure checklist is filed. Program client files are reviewed for completeness. Agency managers meet with program staff to check in regarding processes and policy.

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

Ten monthly program meetings are held with all subrecipient agencies. These meetings include training on various program topics and a time for agencies to share questions, concerns, or ideas with the state. A longer training day for subrecipients is held before the new season begins. At this training, policy, technical, and other topics are covered. Throughout the year, agencies work closely with the RI DHS for intake and invoicing. DHS monitors the software and agency portals daily. Individualized training for agencies is offered as needed.

**10.7. Describe how you select local agencies for monitoring reviews. Attach a risk assessment if subrecipients are utilized.**

**Site Visits:**

All Community Action agencies have an annual fiscal and an annual program monitoring visit.

**Desk Reviews:**

A risk assessment is completed for each program. If a subrecipient is considered medium risk, a site visit or desk audit is mandatory during the first six months of the fiscal year. If a subrecipient is high risk, our agency conducts at least two site visits or desk reviews.

**10.8. How often is each local agency monitored? Please attach a monitoring schedule if one has been developed.**

Annually

**10.9. How many local agencies are currently on corrective action plans? 1**

**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)

<b>U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES ADMINISTRATION FOR CHILDREN AND FAMILIES</b>	<b>August 1987, revised 05/92, 02/95, 03/96, 12/98, 11/01 OMB Clearance No.: 0970-013 Expiration Date: 02/28/2027</b>	
<b>LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP) MODEL PLAN Section 11 - Timely and Meaningful Public Participation</b>		
<b>Section 11: Timely and Meaningful Public Participation, 2605(b)(12), 2605(C)(2)</b>		
<b>11.1 How did you obtain input from the public in the development of your LIHEAP plan? Select all that apply.</b> <i>Note: Tribes do not need to hold a public hearing but must ensure participation through other means.</i>		
<input type="checkbox"/> Tribal Council meeting(s)		
<input checked="" type="checkbox"/> Public Hearing(s)		
<input checked="" type="checkbox"/> Draft Plan posted to website and available for comment		
<input type="checkbox"/> Hard copy of plan is available for public view and comment		
<input checked="" type="checkbox"/> Comments from applicants are recorded		
<input checked="" type="checkbox"/> Request for comments on draft Plan is advertised		
<input type="checkbox"/> Stakeholder consultation meeting(s)		
<input type="checkbox"/> Comments are solicited during outreach activities		
<input checked="" type="checkbox"/> Other - Describe:		
<div style="margin-left: 40px;">July 2024:  -A notice to stakeholders with a summary of the proposed plan and an invitation to the public hearing. The stakeholders included the directors of the Community Action Agencies and advocacy organizations.  -A notice of the public hearing with the draft of the state plan was posted on the DHS website in July 2024.  August 2024:  -The proposed model plan was an agenda item at the August monthly meeting of the LIHEAP managers at the Community Action Agencies. The plan summary was sent out to the managers prior to the meeting.</div>		
<b>Public Hearings, 2605(a)(2) - For States and the Commonwealth of Puerto Rico Only</b>		
<b>11.2 List the date and location(s) that you held public hearing(s) on the proposed use and distribution of your LIHEAP funds?</b>		
	<b>Date</b>	<b>Event Description</b>
1	08/14/2024	Public Hearing for FFY 2025 LIHEAP State Plan held at Rhode Island Department of Human Services at 25 Howard Ave, Cranston, RI at 10:30 AM. This location has parking and is on a busline.
<b>11.3. How many parties commented on your plan at the hearing(s)? 0</b>		
<b>11.4 Summarize the comments you received at the hearing(s).</b>		
We did not have anyone attend the hearing. Please see attached document for a response to the review question required after this plan was submitted.		
<b>11.5 What changes did you make to your LIHEAP plan as a result of public participation and solicitation of input?</b>		
We did not make changes to the model plan as a result of public participation. The reason for this is that the comments we received at the August monthly meeting of the LIHEAP managers at the Community Action Agencies were very positive. They expressed satisfaction that there was an increase to the State Median Income (SMI) from FFY 2024 to FFY 2025. Two of the managers felt that the increases would allow more people to be eligible for LIHEAP.		

We plan to continue the practice of having the upcoming state plan proposal as a topic in one of our LIHEAP manager monthly meetings. In FFY 2025. We would like to have the topic on the agenda earlier in the year (June).

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

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

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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Expiration Date: 02/28/2027

### LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP) MODEL PLAN Section 12 - Fair Hearings

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

12.1 How many fair hearings did the Grant recipient 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?

None

12.4 Describe your fair hearing procedures for households whose applications are denied and/or not acted upon in a timely manner.

Households determined ineligible are notified by letter by the subrecipient where they applied. In the denial letter, they are given the reason their household is ineligible and information explaining the Appeals process, including an appeals form. To request an appeal hearing, the applicant must submit the form within fifteen business days of the receipt of a denial letter.

After it is determined that the applicant is to be denied the subrecipient checks their eligibility for another heating assistance program (Good Neighbor Energy Fund) and notifies them if they are eligible.

The applicant is offered a hearing with an impartial representative of the subrecipient. The applicant is allowed to bring representation and/or present oral or written evidence. The applicant has the right to review the case file. The subrecipient will communicate its decision regarding the appeal within five business days of the appeal hearing. If the applicant is not satisfied with the outcome of the appeal, the applicant has the right to a second Appeal with the Rhode Island Department of Human Services.

12.5 When and how are applicants informed of these rights?

If a household is denied, they receive a denial letter from the subrecipient where they applied. They are told the reason for their denial and provided detailed information about how to appeal along with an appeal 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

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.: 0970-013  
Expiration Date: 02/28/2027

### LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP) MODEL PLAN Section 13 - Reduction of Home Energy Needs

#### 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?**

Households are offered help addressing their need for energy assistance. Participants must have received a LIHEAP grant. Through casework and coaching, households are guided on ways to reduce their energy usage and improve their financial stability. Assistance is provided to any of the household members. In FFY 2024, all seven Community Action Agencies participated in the program. In FFY 2025, all seven will participate again.

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

Assurance 16 funds are earmarked in the Community Action Agency contracts so that no more than 5% is allocated. Typically, the amount obligated is in the 2-3% range. The amount is obligated in the subrecipients contracts and the subrecipients submit a monthly A-16 invoice for program expenses.

**13.3 Describe the impact of such activities on the number of households served in the previous federal Fiscal Year.**

Participants have appliance and weatherization audits. A caseworker assists them with energy saving and household budget strategies. Resume writing/applying for jobs, career planning, and information about free and affordable training programs are provided to all household members. Caseworkers track participant's progress.

**13.4 Describe the level of direct benefits provided to those households in the previous federal Fiscal Year.**

Direct benefits for participating households in FFY 2024, included appliance management and weatherization audits of their homes, as well as one on one coaching about energy savings, household budgeting, and job searching/career planning. All participating households are LIHEAP clients so they receive the LIHEAP primary grant and can be eligible for crisis grants.

**13.5 How many households received these services?** 169

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

## Section 14 - Leveraging Incentive Program ,2607A

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

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### LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP) MODEL PLAN Section 14 - Leveraging Incentive Program

#### 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.

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

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			

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

## Section 15 - Training

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

August 1987, revised 05/92, 02/95, 03/96, 12/98, 11/01  
OMB Clearance No.: 0970-013  
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### LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP) MODEL PLAN Section 15 - Training

#### Section 15: Training

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

**a. Grant recipient Staff:**

☒ Formal training provided virtually, on-site, and/or formal training conference

How often?

☐ Annually

☐ Biannually

☒ As needed

☐ Other, describe:

☒ Employees are provided with policy manual

☐ Other, describe:

Grantee staff are encouraged to participate in relevant trainings, conferences, and workgroups. The two LIHEAP program staff members in RI are each members of a workgroup (PMIWG and ASEV) and participate in regular meetings.

**b. Local Agencies:**

☒ Formal training provided virtually, on-site, and/or formal training conference

How often?

☐ Annually

☐ Biannually

☒ As needed

☐ Other, describe:

☒ On-site training

How often?

☒ Annually

☐ Biannually

☐ As needed

☐ Other, describe:

☒ Employees are provided with policy manual

☒ Other, describe:

We provide one on one training to subrecipient LIHEAP managers as needed. We bring in the software staff to these trainings when needed. We meet monthly with all subrecipient LIHEAP managers to review policies and procedures. Some of these trainings and monthly meetings are held in person and some are held virtually.

Subrecipients are encouraged to send LIHEAP staff to national and regional conferences covering topics relevant to LIHEAP.

**c. Vendors**

☒ Formal training conference

How often?

☒ Annually

☐ Biannually

<input type="checkbox"/>	As needed
<input type="checkbox"/>	Other, describe:
<input checked="" type="checkbox"/>	Policies communicated through vendor agreements
<input type="checkbox"/>	Policies are outlined in a vendor manual
<input type="checkbox"/>	Other, describe:  Deliverable fuel vendors are required to attend a training meeting prior to the new season starting as a condition of being a LIHEAP vendor. There are multiple opportunities for the vendors to attend a meeting which are held in person and virtually.
15.2 Does your training program address fraud reporting and prevention? <input checked="" type="radio"/> Yes <input type="radio"/> No	
<p><b>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.</b></p>	

## 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.: 0970-013  
Expiration Date: 02/28/2027

### LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP) MODEL PLAN Section 16 - Performance Goals and Measures

#### 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 (Benefit Targeting Index, Burden Reduction Targeting Index, Restoration of Home Energy Service, and Prevention of Loss of Home Energy Service). Include timeframes and plans for meeting these requirements and what you believe will be accomplished in the coming federal fiscal year.**

Timeline for data collection and reporting of performance measures:

##### 1. Benefit Targeting and Burden Reduction Targeting

October - December

a) Utility heating data collection for FFY 2024. In October, we generate a spreadsheet that identifies the LIHEAP client number, utility account number, benefit amount, and type of utility the household heats with (natural gas or electricity). This is sent to the largest utility provider in the state which supplies most households in the state with utilities. The utility sends back the total consumption as a dollar amount for each of these households for twelve months of consumption during the specified FFY.

b) Utility non heating data collection - We also generate a spreadsheet that shows the LIHEAP client number and utility account number for all households with non-heating electric accounts. We send this to the utility. The utility sends back the amount of consumption as a dollar amount for each household for twelve months of consumption during the specified twelve-month period.

c) Deliverable fuel heating - We generate a spreadsheet that identifies the LIHEAP client number, deliverable account number (if it exists), benefit amount, and type of deliverable fuel the household heats with (heating oil, kerosene, propane). This is sent to many of our 100+ deliverable fuel vendors with a request to fill in the amount the client has spent on deliverable fuel (not services) with their company over the twelve months specified.

January

a) We compile the data from these spreadsheets returned to determine the energy burden for the households. This is then broken down further into the highest energy burden households.

##### 2. Restoration of Home Energy Service, and Prevention of Loss of Home Energy Service

January

a) Run Reports in LIHEAP software to determine the number of utility crisis grants (restoration of home energy) and deliverable crisis grants (prevention of home energy) during the specified FFY.

b) Work with Weatherization Department to run a report showing the number of repaired and replaced inoperable heating equipment (restoration of home energy) and operable heating equipment (prevention of home energy) during the specified FFY.

We expect to collect more data for deliverable fuel vendors for FFY 2024.

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

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

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

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OMB Clearance No.: 0970-013  
Expiration Date: 02/28/2027

### LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP) MODEL PLAN Section 17 - Program Integrity

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

### 17.1 Fraud Reporting Mechanisms

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



Online Fraud Reporting



Dedicated Fraud Reporting Hotline



Report directly to local agency/district office or Grant recipient 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



Posted in local administering agencies offices.



Addressed on LIHEAP application



Website



Other - Describe:

Reporting Fraud statement is on all benefit confirmation letters that are sent to clients upon being certified for a grant.

DHS website; **Report Fraud | RI Department of Human Services**

Ways to report fraud are posted on the subrecipients' websites and/or in their intake offices.

Ways to report fraud is covered at our annual vendor meeting.

### 17.2. Identification Documentation Requirements

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

Type of Identification Collected	Collected from Whom?					
	Applicant Only		All Adults in Household		All Household Members	
Social Security Card is photocopied and retained	<input type="checkbox"/>	Required	<input type="checkbox"/>	Required	<input type="checkbox"/>	Required
	<input checked="" type="checkbox"/>	Requested	<input checked="" type="checkbox"/>	Requested	<input checked="" type="checkbox"/>	Requested
Social Security Number (Without actual Card)	<input checked="" type="checkbox"/>	Required	<input checked="" type="checkbox"/>	Required	<input type="checkbox"/>	Required
	<input type="checkbox"/>	Requested	<input type="checkbox"/>	Requested	<input checked="" type="checkbox"/>	Requested
Government-issued identification	<input checked="" type="checkbox"/>	Required	<input type="checkbox"/>	Required	<input type="checkbox"/>	Required

card (i.e.: driver's license, state ID, Tribal ID, passport, etc.)	<input type="checkbox"/>	Requested	<input checked="" type="checkbox"/>	Requested	<input checked="" type="checkbox"/>	Requested	<input checked="" type="checkbox"/>
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**17.3. Citizenship/Legal Residency Verification**

What are your procedures for ensuring LIHEAP recipients are U.S. citizens or qualified non-citizens who are eligible to receive LIHEAP benefits? Select all that apply.

☒ Clients sign an attestation of citizenship or U.S. Citizen or Qualified Non-Citizen

☐ Client's submission of certain Social Security Administration cards is accepted as proof of U.S. Citizen or Qualified Non-Citizen.

☒ Non-Citizens must provide documentation of immigration status

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

☐ Non-Citizens are verified through the SAVE system

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

☒ **Other - Describe:**  
  

Applicants attest that everything on their application is true and accurate. This includes the social security numbers they provide.

Applicants must provide Social Security numbers for the Applicant and each Household Member along with proof of the Social Security numbers. Proof may be a copy of the Social Security cards or an official document from a government agency that has the Social Security number on it.

For each Household Member besides the Applicant, provide one of the following documents:

- Official Birth Certificate- United States Passport
- A driver's license- Any official document from a government agency
- State identification card
- Certificate of U.S. Citizenship
- U.S. Military photo identification
- Certificate of Naturalization
- Other immigration documentation

	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		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**17.4. Income Verification**

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

☒ Require documentation of income for all adult household members

☒ Pay stubs

☒ Social Security award letters

☒ Bank statements

☒ Tax statements

☒ Zero-income statements

☒ Unemployment Insurance letters

☒ **Other - Describe:**  
  

If a household member is being supported by another person we require the other person to fill out a form stating their name, address, phone number, as well as the they type of support (cash, food, rent), the time period, and the amount. It's called the Support Letter Form (with the attachments).

☐ **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

<input checked="" type="checkbox"/> <b>Other - Describe:</b>  Currently, we do not have electronic data match capability but in FFY 2025, we plan to do a pilot process where the subrecipients will upload their applicant files to one of the verification data systems that RI DHS uses in their eligibility system. We plan to use the system that verifies social security income.
<b>b. Describe any exceptions to the above policies.</b>
<b>17.5 Identification Verification</b>
<b>Describe what methods are used to verify the authenticity of identification documents provided by clients or household members. Select all that apply</b>
<input type="checkbox"/> Verify SSNs with Social Security Administration
<input type="checkbox"/> Match SSNs with death records from Social Security Administration or state agency
<input type="checkbox"/> Match SSNs with state eligibility/case management system (e.g., SNAP, TANF)
<input type="checkbox"/> Match with state Department of Labor system
<input type="checkbox"/> Match with state and/or federal corrections system
<input type="checkbox"/> Match with state child support system
<input type="checkbox"/> Verification using private software (e.g., The Work Number)
<input type="checkbox"/> In-person certification by staff (for tribal Grant recipients only)
<input type="checkbox"/> Match SSN/Tribal ID number with tribal database or enrollment records (for tribal Grant recipients only)
<input checked="" type="checkbox"/> <b>Other - Describe:</b>  Currently, we do not have electronic data match capability but in FFY 2025, we plan to do a pilot process where the subrecipients will upload their applicant files to one of the verification data systems that RI DHS uses in their eligibility system. We plan to use the system that verifies identity with the Social Security Administration.
<b>17.6. Protection of Privacy and Confidentiality</b>
<b>Describe the financial and operating controls in place to protect client information against improper use or disclosure. Select all that apply.</b>
<input checked="" type="checkbox"/> Policy in place prohibiting release of information without written consent
<input checked="" type="checkbox"/> Grant recipient LIHEAP database includes privacy/confidentiality safeguards
<input checked="" type="checkbox"/> Employee training on confidentiality for:
<input checked="" type="checkbox"/> Grant recipient employees
<input checked="" type="checkbox"/> Local agencies/district offices
<input type="checkbox"/> Employees must sign confidentiality agreement
<input type="checkbox"/> Grant recipient employees
<input type="checkbox"/> Local agencies/district offices
<input checked="" type="checkbox"/> Physical files are stored in a secure location
<input checked="" type="checkbox"/> Electronic files are protected in a secure location.
<input type="checkbox"/> Other - Describe:
<b>17.7. Verifying the Authenticity</b>
<b>What policies are in place for verifying vendor authenticity? Select all that apply.</b>
<input type="checkbox"/> All vendors must register with the State/Tribe.
<input checked="" type="checkbox"/> All vendors must supply a valid SSN or TIN/W-9 form
<input checked="" type="checkbox"/> Vendors are verified through energy bills provided by the household
<input checked="" type="checkbox"/> Grant recipient and/or local agencies/district offices perform physical monitoring of vendors
<input checked="" type="checkbox"/> <b>Other - Describe and note any exceptions to policies above:</b>  Heating oil vendors are required to supply a copy of their Rhode Island Petroleum Dealer's License with their vendor agreement each year.
<b>17.8. Benefits Policy - Gas and Electric Utilities</b>
<b>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.</b>
<input checked="" type="checkbox"/> Applicants required to submit proof of physical residency

<input checked="" type="checkbox"/>	Applicants must submit current utility bill
<input checked="" type="checkbox"/>	Data exchange with utilities that verifies:
<input type="checkbox"/>	Account ownership
<input type="checkbox"/>	Consumption
<input type="checkbox"/>	Balances
<input type="checkbox"/>	Payment history
<input type="checkbox"/>	Account is properly credited with benefit
<input checked="" type="checkbox"/>	Other - Describe: Intake staff has access to utility database to verify the name, residence, and account number of the applicant.
<input checked="" type="checkbox"/>	Centralized computer system/database tracks payments to all utilities
<input checked="" type="checkbox"/>	Centralized computer system automatically generates benefit level
<input checked="" type="checkbox"/>	Separation of duties between intake and payment approval
<input type="checkbox"/>	Payments coordinated among other energy assistance programs to avoid duplication of payments
<input checked="" type="checkbox"/>	Payments to utilities and invoices from utilities are reviewed for accuracy
<input type="checkbox"/>	Computer databases are periodically reviewed to verify accuracy and timeliness of payments made to utilities
<input checked="" type="checkbox"/>	Direct payment to households are made in limited cases only
<input type="checkbox"/>	Procedures are in place to require prompt refunds from utilities in cases of account closure
<input type="checkbox"/>	Vendor agreements specify requirements selected above, and provide enforcement mechanism
<input type="checkbox"/>	Other - Describe:
<b>17.9. Benefits Policy - Bulk Fuel Vendors</b>	
What procedures are in place for averting fraud and improper payments when dealing with bulk fuel suppliers of heating oil, propane, wood, and other bulk fuel vendors? Select all that apply.	
<input checked="" type="checkbox"/>	Vendors are checked against an approved vendors list
<input checked="" type="checkbox"/>	Centralized computer system/database is used to track payments to all vendors
<input type="checkbox"/>	Clients are relied on for reports of non-delivery or partial delivery
<input type="checkbox"/>	Two-party checks are issued naming client and vendor
<input checked="" type="checkbox"/>	Direct payment to households are made in limited cases only
<input type="checkbox"/>	Vendors are only paid once they provide a delivery receipt signed by the client
<input checked="" type="checkbox"/>	Conduct monitoring of bulk fuel vendors
<input type="checkbox"/>	Bulk fuel vendors are required to submit reports to the grant recipient.
<input type="checkbox"/>	Vendor agreements specify requirements selected above, and provide enforcement mechanism
<input checked="" type="checkbox"/>	Other - Describe: Deliverable vendors must send subrecipients delivery tickets showing that the deliveries were made to the household. These tickets are input into the LIHEAP system and tracked so that any remaining balance is accounted for. Subrecipients send deliverable vendors Remaining Balance Reports.
<b>17.10. Investigations and Prosecutions</b>	
Describe the Grant recipients procedures for investigating and prosecuting reports of fraud, and any sanctions placed on clients, staff, or vendors found to have committed fraud. Select all that apply.	
<input checked="" type="checkbox"/>	Refer to state Inspector General
<input type="checkbox"/>	Refer to local prosecutor or state Attorney General
<input type="checkbox"/>	Refer to US DHHS Inspector General (including referral to OIG hotline)
<input type="checkbox"/>	Local agencies/district offices or Grant recipient conduct investigation of fraud complaints from public
<input checked="" type="checkbox"/>	Grant recipient attempts collection of improper payments. If so, describe the recoupment process Cases of suspected fraud are sent to the Rhode Island Office of Internal Audit.

Cases of error:

If there is an overpayment of LIHEAP funds resulting from error by the household or vendor, the subrecipient shall recover LIHEAP funds.

If subrecipient error results in overpayment of LIHEAP benefits and the recall of overpaid funds results in a household receiving a shut off notice, the Agency must use its non-federal funds to repay the vendor the recalled amount. request repayment of excess funds from the household, assure the Household has continual access to heat.

If vendor error results in overpayment of LIHEAP benefits, recall all LIHEAP funds overpaid to or on behalf of the household.

If the household received a direct overpayment of LIHEAP benefits, written notification must be provided to the client which includes the following information (as needed): Request repayment of excess funds, clarify the household's rights and responsibilities, offer a meeting, and allow installment payments if needed. If the household and you can agree on a reasonable timetable, include this in your repayment request to the household.

In all cases, if repayment by the household poses a hardship for the household, the subrecipient shall terminate recovery procedures when the household declares and describes the hardship in a written, signed and dated statement. The statement shall be retained in the household file.

☒ **Clients found to have committed fraud are banned from LIHEAP assistance. For how long is a household banned?** if second case of fraud, they are not allowed to apply for LIHEAP again. See below.

☒ **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 a client is found guilty of fraud, payment of benefits has not exceeded \$1,000, and the client applies the following year, the award will be reduced by 50%. If there is a second instance of fraud, the Applicant will not be eligible for LIHEAP assistance.

Vendor agree in the annual vendor agreement that they understands that if the State of Rhode Island has reason to believe that the Vendor may have misrepresented, violated, or attempted to violate any part of this Agreement, the Vendor is subject to having their participation as a supplier in the energy assistance program immediately suspended. Suspected violations of Rhode Island law shall be investigated, and if appropriate, prosecuted. Vendors found in violation shall be barred from participation in the energy assistance program for five years.

**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.

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 Grant recipient 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 Grant recipient 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 Grant recipients other than individuals, Alternate I applies.
4. For Grant recipients who are individuals, Alternate II applies.
5. Workplaces under grants, for Grant recipients other than individuals, need not be identified on the certification. If known, they may be identified in the grant application. If the Grant recipient does not identify the workplaces at the time of application, or upon award, if there is no application, the Grant recipient 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 Grant recipients 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 Grant recipient 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. Grant recipients 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 Grant recipient 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 Grant recipients payroll. This definition does not include workers not on the payroll of the Grant recipient (e.g., volunteers, even if used to meet a matching requirement; consultants or independent contractors not on the Grant recipients payroll; or employees of subrecipients or subcontractors in covered workplaces).

#### **Certification Regarding Drug-Free Workplace Requirements**

##### **Alternate I. (Grant recipients Other Than Individuals)**

The Grant recipient 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 Grant recipients 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 Grant recipients 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 Grant recipient 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 ( *That this must be physical address. No PO Boxes allowed.* )**

Department of Human Services <b>* Address Line 1</b>		
25 Howard Ave. Address Line 2		
Building 57 Address Line 3		
Cranston <b>* City</b>	RI <b>* State</b>	02920 <b>* Zip Code</b>

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

**Alternate II. (Grant recipients Who Are Individuals)**

(a) The Grant recipient 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

### 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 Grant recipients and may be contingent on unregulated vendors taking appropriate measures to alleviate the energy burdens of eligible households, including providing for agreements between suppliers and individuals eligible for benefits under this Act that seek to reduce home energy costs, minimize the risks of home energy crisis, and encourage regular payments by individuals receiving financial assistance for home energy costs;

**(8) provide assurances that,**

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

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

**(9) provide that--**

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

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

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

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

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

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

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

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

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

**(16) use up to 5 percent of such funds, at its option, to provide services that encourage and enable households to reduce their home energy needs and**

**thereby the need for energy assistance, including needs assessments, counseling, and assistance with energy vendors, and report to the Secretary concerning the impact of such activities on the number of households served, the level of direct benefits provided to those households, and the number of households that remain unserved.**



By checking this box, the prospective primary participant is agreeing to the Assurances set out above.

## Plan Attachments

PLAN ATTACHMENTS
The following documents must be attached to this application
<ul style="list-style-type: none"><li>• Delegation Letter is required if someone other than the Governor or Chairman Certified this Report.</li></ul>
<ul style="list-style-type: none"><li>• Heating component benefit matrix, if applicable</li></ul>
<ul style="list-style-type: none"><li>• Cooling component benefit matrix, if applicable</li></ul>
<ul style="list-style-type: none"><li>• Minutes, notes, or transcripts of public hearing(s).</li></ul>
<ul style="list-style-type: none"><li>• Policy Manual.</li></ul>
<ul style="list-style-type: none"><li>• Subrecipient Contract.</li></ul>
<ul style="list-style-type: none"><li>• Model Plan Participation Notes for Tribes.</li></ul>