DETAILED MODEL PLAN (LIHEAP)

Program Name: Low Income Home Energy Assistance
Grantee Name: Iowa
Report Name: DETAILED MODEL PLAN (LIHEAP) Revision # 1
Report Period: 10/01/2019 to 09/30/2020
Report Status: Submission Accepted by CO (Revision #1)

Report Sections

1. Mandatory Grant Application SF-424
2. Section 1 - Program Components
3. Section 2 - HEATING ASSISTANCE
4. Section 3 - COOLING ASSISTANCE
5. Section 4 - CRISIS ASSISTANCE
6. Section 5 - WEATHERIZATION ASSISTANCE
7. Section 6 - Outreach, 2605(b)(3) - Assurance 3, 2605(c)(3)(A)
8. Section 7 - Coordination, 2605(b)(4) - Assurance 4
9. Section 8 - Agency Designation,, 2605(b)(6) - Assurance 6
10. Section 9 - Energy Suppliers,, 2605(b)(7) - Assurance 7
11. Section 10 - Program, Fiscal Monitoring, and Audit, 2605(b)(10) - Assurance 10
12. Section 11 - Timely and Meaningful Public Participation, , 2605(b)(12) - Assurance 12, 2605(c)(2)
13. Section 12 - Fair Hearings,2605(b)(13) - Assurance 13
14. Section 13 - Reduction of home energy needs,2605(b)(16) - Assurance 16
15. Section 14 - Leveraging Incentive Program ,2607A
16. Section 15 - Training
17. Section 16 - Performance Goals and Measures, 2605(b)
18. Section 17 - Program Integrity, 2605(b)(10)
19. Section 18: Certification Regarding Debarment, Suspension, and Other Responsibility Matters
20. Section 19: Certification Regarding Drug-Free Workplace Requirements
21. Section 20: Certification Regarding Lobbying
22. Assurances
23. Plan Attachments
**Mandatory Grant Application SF-424**

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

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

OMB Clearance No.: 0970-0075
Expiration Date: 09/30/2020

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

---

**1. a. Type of Submission:**
- Plan

**1. b. Frequency:**
- Annual

**1. c. Consolidated Application/Plan/Funding Request?**

**Explanation:**

**1. d. Version:**
- Initial
- Resubmission
- Revision
- Update

**2. Date Received:**

**State Use Only:**

**3. Applicant Identifier:**

**4a. Federal Entity Identifier:**

**4b. Federal Award Identifier:**

**G-16B1IALIEA**

**5. Date Received By State:**

**6. State Application Identifier:**

**7. APPLICANT INFORMATION**

**a. Legal Name:** State of Iowa

**b. Employer/Taxpayer Identification Number (EIN/TIN):** 42-09191

**27 State of Iowa**

**c. Organizational DUNS:** 090571873

**d. Address:**

- **Street 1:** LUCAS STATE OFFICE BUILDING
- **Street 2:** 321 East 12th Street
- **City:** DES MOINES
- **County:** Polk County
- **State:** IA
- **Province:**
- **Country:** United States
- **Zip / Postal Code:** 50319 -

**e. Organizational Unit:**

- **Department Name:** Iowa Department of Human Rights
- **Division Name:** Division of Community Action Agencies

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

- **Prefix:**
- **First Name:** Christine
- **Middle Name:**
- **Last Name:** Taylor
- **Suffix:**
- **Title:** Executive Officer
- **Organizational Affiliation:**

**Telephone Number:**

- **Fax Number:** 515-242-6119

**9. Name of Federal Agency:**

- **Catalog of Federal Domestic Assistance Number:**

- **CFDA Title:** Low-Income Home Energy Assistance

**10. CFDA Numbers and Titles**

- **93568**

**11. Descriptive Title of Applicant’s Project**

- **FY 2020 Model Plan**

**12. Areas Affected by Funding:**

- Statewide
13. CONGRESSIONAL DISTRICTS OF:
- a. Applicant:
- 3
- b. Program/Project:
- Statewide

Attach an additional list of Program/Project Congressional Districts if needed.

14. FUNDING PERIOD:
- a. Start Date: 10/01/2019
- b. End Date: 09/30/2020

15. ESTIMATED FUNDING:
- a. Federal ($): $0
- b. Match ($): $0

16. IS SUBMISSION SUBJECT TO REVIEW BY STATE UNDER EXECUTIVE ORDER 12372 PROCESS?
- a. This submission was made available to the State under the Executive Order 12372
- b. Program is subject to E.O. 12372 but has not been selected by State for review.
- c. Program is not covered by E.O. 12372.

17. Is The Applicant Delinquent On Any Federal Debt?
- ☐ YES
- ☐ NO

Explanation:

18. By signing this application, I certify (1) to the statements contained in the list of certifications** and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)

**I Agree ☑

** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

<table>
<thead>
<tr>
<th>18a. Typed or Printed Name and Title of Authorized Certifying Official</th>
<th>18c. Telephone (area code, number and extension)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Christine Taylor</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>18b. Signature of Authorized Certifying Official</th>
<th>18e. Date Report Submitted (Month, Day, Year)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>09/23/2019</td>
</tr>
</tbody>
</table>

Attach supporting documents as specified in agency instructions.
# 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.)

<table>
<thead>
<tr>
<th>Component</th>
<th>Start Date</th>
<th>End Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Heating assistance</td>
<td>10/01/2019</td>
<td>04/30/2020</td>
</tr>
<tr>
<td>Cooling assistance</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Crisis assistance</td>
<td>10/01/2019</td>
<td>09/30/2020</td>
</tr>
<tr>
<td>Weatherization assistance</td>
<td>10/01/2019</td>
<td>09/30/2020</td>
</tr>
</tbody>
</table>

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%.

<table>
<thead>
<tr>
<th>Component</th>
<th>Percentage (%)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Heating assistance</td>
<td>57.00%</td>
</tr>
<tr>
<td>Cooling assistance</td>
<td>0.00%</td>
</tr>
<tr>
<td>Crisis assistance</td>
<td>8.00%</td>
</tr>
<tr>
<td>Weatherization assistance</td>
<td>15.00%</td>
</tr>
<tr>
<td>Carryover to the following federal fiscal year</td>
<td>7.00%</td>
</tr>
<tr>
<td>Administrative and planning costs</td>
<td>10.00%</td>
</tr>
<tr>
<td>Services to reduce home energy needs including needs assessment (Assurance 16)</td>
<td>3.00%</td>
</tr>
<tr>
<td>Used to develop and implement leveraging activities</td>
<td>0.00%</td>
</tr>
</tbody>
</table>
1.3 The funds reserved for winter crisis assistance that have not been expended by March 15 will be reprogrammed to:

☐ Heating assistance  ☐ Cooling assistance
☐ Weatherization assistance  ✔ Other (specify): Remaining winter crisis component will remain in the ECIP component that includes furnace repair/replacement, emergency cooling, along with pre-purchase of liquid propane.

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

1.4 Do you consider households categorically eligible if one household member receives one of the following categories of benefits in the left column below? ☑ Yes  ☐ No

- Heating assistance
- Cooling assistance
- Weatherization assistance
- Other (specify:)
- Remaining winter crisis component will remain in the ECIP component that includes furnace repair/replacement, emergency cooling, along with pre-purchase of liquid propane.

If you answered "Yes" to question 1.4, you must complete the table below and answer questions 1.5 and 1.6.

<table>
<thead>
<tr>
<th>Program Name</th>
<th>Heating</th>
<th>Cooling</th>
<th>Crisis</th>
<th>Weatherization</th>
</tr>
</thead>
<tbody>
<tr>
<td>TANF</td>
<td>Yes</td>
<td>No</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>SSI</td>
<td>Yes</td>
<td>No</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>SNAP</td>
<td>Yes</td>
<td>No</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>Means-tested Veterans Programs</td>
<td>Yes</td>
<td>No</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>Other(Specify): 1</td>
<td>Yes</td>
<td>No</td>
<td>Yes</td>
<td>Yes</td>
</tr>
</tbody>
</table>

1.5 Do you automatically enroll households without a direct annual application? ☑ Yes  ☐ No

If Yes, explain:

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

SNAP Nominal Payments

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

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

1.7b Amount of Nominal Assistance: $0.00

1.7c Frequency of Assistance

☐ Once Per Year
☐ Once every five years
☐ Other - Describe:  

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

Determination of Eligibility - Countable Income

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

☑ Gross Income
☐ Net Income

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

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

| Earned income of a child under the age of 18 |
| Balance of retirement, pension, or annuity accounts where funds cannot be withdrawn without a penalty. |
| Income tax refunds |
| Stipends from senior companion programs, such as VISTA |
| Funds received by household for the care of a foster child |
| Ameri-Corp Program payments for living allowances, earnings, and in-kind aid |
| Reimbursements (for mileage, gas, lodging, meals, etc.) |
| Other |
Section 2 - Heating Assistance

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

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

<table>
<thead>
<tr>
<th>Add</th>
<th>Household size</th>
<th>Eligibility Guideline</th>
<th>Eligibility Threshold</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>All Household Sizes</td>
<td>HHS Poverty Guidelines</td>
<td>175.00%</td>
</tr>
</tbody>
</table>

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

Do you have additional/differing eligibility policies for:

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

Do you give priority in eligibility to:

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

Explanations of policies for each “yes” checked above:

- Households containing an elderly and/or disabled member are allowed to apply on October 1st, while all other households must wait until November 1st.

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

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

- Only households with an elderly and/or disabled member, or households facing disconnection of service, can apply starting October 1st. All others can apply starting November 1st. Benefit matrix (see attachment) awards additional benefit amounts for elderly, disabled, and young children.

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

- Income
- Family (household) size
- Home energy cost or need:
  - Fuel type
  - Climate/region
  - Individual bill
- Dwelling type
Benefit matrix (see attachment) awards additional benefit amounts for elderly, disabled, and young children.

2.6 Describe estimated benefit levels for FY 2020:

<table>
<thead>
<tr>
<th>Minimum Benefit</th>
<th>Maximum Benefit</th>
</tr>
</thead>
<tbody>
<tr>
<td>$40</td>
<td>$720</td>
</tr>
</tbody>
</table>

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

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

1. **Designate The income eligibility threshold used for the Cooling component:**

<table>
<thead>
<tr>
<th>Add</th>
<th>Household size</th>
<th>Eligibility Guideline</th>
<th>Eligibility Threshold</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td></td>
<td></td>
<td>0.00%</td>
</tr>
</tbody>
</table>

2. **Do you have additional eligibility requirements for Cooling Assistance?**
   - [ ] Yes
   - [ ] No

3. **Check the appropriate boxes below and describe the policies for each.**

   - **Do you require an Assets test?**
     - [ ] Yes
     - [ ] No

   - **Do you have additional/differing eligibility policies for:**
     - Renters?
       - [ ] Yes
       - [ ] No
     - Renters Living in subsidized housing?
       - [ ] Yes
       - [ ] No
     - Renters with utilities included in the rent?
       - [ ] Yes
       - [ ] No

4. **Do you give priority in eligibility to:**

   - Elderly?
     - [ ] Yes
     - [ ] No
   - Disabled?
     - [ ] Yes
     - [ ] No
   - Young children?
     - [ ] Yes
     - [ ] No
   - Households with high energy burdens?
     - [ ] Yes
     - [ ] No
   - Other?
     - [ ] Yes
     - [ ] No

5. **Explanations of policies for each “yes” checked above:**

   - 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)**

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

   - [ ] Income
   - [ ] Family (household) size
   - [ ] Home energy cost or need:
     - [ ] Fuel type
     - [ ] Climate/region
     - [ ] Individual bill
     - [ ] Dwelling type
     - [ ] Energy burden (% of income spent on home energy)
     - [ ] Energy need
   - [ ] Other - Describe:
### Benefit Levels, 2605(b)(5) - Assurance 5, 2605(c)(1)(B)

3.6 Describe estimated benefit levels for FY 2020:

| Minimum Benefit | $0 | Maximum Benefit | $0 |

3.7 Do you provide in-kind (e.g., fans, air conditioners) 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 4 - CRISIS ASSISTANCE

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

4.1 Designate the income eligibility threshold used for the crisis component

<table>
<thead>
<tr>
<th>Add</th>
<th>Household size</th>
<th>Eligibility Guideline</th>
<th>Eligibility Threshold</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>All Household Sizes</td>
<td>HHS Poverty Guidelines</td>
<td>175.00%</td>
</tr>
</tbody>
</table>

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

Our Policy and Procedures Manual lists allowable crisis measures with expenditure limits. Those allowable measures address the following crisis situations: non-working heating system, temporary need for alternate shelter, disconnected from utility service, disconnection from utility service imminent, empty tank or less than 20% remaining, and when medically necessary provides a window air conditioning unit or repair of existing central air unit.

4.3 What constitutes a life-threatening crisis?

When a household is facing a crisis situation listed above (4.2) during a time of extreme weather, and/or has essential medical equipment that will become non-operational upon loss of utility service.

Crisis Requirement, 2604(c)

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

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

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

4.6 Do you have additional eligibility requirements for CRISIS ASSISTANCE? ☐ Yes ☐ No

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

Do you require an Assets test? ☐ Yes ☐ No

Do you give priority in eligibility to:

- Elderly? ☐ Yes ☐ No
- Disabled? ☐ Yes ☐ No
- Young Children? ☐ Yes ☐ No
- Households with high energy burdens? ☐ Yes ☐ No
- Other? ☐ Yes ☐ No

In Order to receive crisis assistance:

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

Other?  
C Yes  ☐ No

Do you have additional / differing eligibility policies for:

Renters?  
C Yes  ☐ No

Renters living in subsidized housing?  
C Yes  ☐ No

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

Explanations of policies for each "yes" checked above:

A notice of disconnection or the imminent threat of disconnection is a determinate for crisis, as is a tank that is at 20% or less remaining.

Household with disconnected service or an empty tank is considered eligible for crisis treatment.

Household with non-working heating system is considered a crisis. Cooling is considered a crisis if it is deemed medically necessary.

Renters in subsidized housing must have an energy burden to qualify for assistance.

Determination of Benefits

4.8 How do you handle crisis situations?

☑ Separate component

☐ Fast Track

☐ Other - Describe:

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

☑ Amount to resolve the crisis.

☐ Other - Describe:

All allowable crisis measures have expenditure limits outlined in the Policy and Procedures Manual as follows:

A combination of one or more of the following crisis payments may be made to an eligible household to resolve a crisis situation.

(1) ECIP – Heating System Repair/Replacement

(A) Payment for repair or replacement of a heating system (boilers included) done in conjunction with work performed by the Weatherization Program (up to 200% of the federal poverty guidelines). A maximum payment of $1,500 per eligible homeowner may be made.

All work paid from LIHEAP ECIP funds must comply with the Iowa Weatherization Assistance Program Heating System Standards and is incorporated with work being done by the Weatherization Assistance Program. All heating system repair or replacement work paid with funds from the ECIP program must pass inspection by the agency’s Weatherization QCI inspector.

Units supplying in-floor radiant heat (boilers or water heaters with a pump) can be repaired/replaced.

Funds can also be used to pay for hook-up of an LP tank to a new heating system (only the line inside the house – not the line from the tank to the house), and LP tank regulators that must be replaced. This component begins October 1st and ends September 30th.

(B) Payment for repair or replacement of a heating system (boilers included) not done in conjunction with work done by the Weatherization Program (up to 175% of the federal poverty guidelines). A maximum payment of $3,000 per eligible homeowner may be made.

ECIP heating system repair/replacement funds are for homeowners only (also eligible is a trustee who is living in the home), and they must be residing in the home at the time of application/assistance. The only exception would be the parent transferring the title to their children, while remaining in the home, in order to exempt it as an asset. Clients with a life lease on a home that has been deeded to their children/family member(s) are eligible for heating system repair and replacement.

An additional maximum amount of $100 ($150 if multiple trips for re-inspections are required) in ECIP funds may be paid for an inspection only in those cases where the work is not done in conjunction with the Weatherization Assistance Program. All work paid from LIHEAP ECIP funds must comply with the LIHEAP Policy and Procedures Manual, Appendix G – Heating System Installation Standards. Those cases involving major repairs ($500 or more) and replacements must be inspected by an agency Weatherization Auditor, HVAC Technician, or QCI inspector. An ECIP Heating System Repair/Replacement Inspection Sheet is to be completed by the person inspecting the work and maintained in the client file including (including a picture of the repair (if an inspection was required) or the new unit, when a replacement is made). The inspection sheet is maintained on the Members Only page of https://humanrights.iowa.gov.

If a household chooses to use their own contractor, or is seeking reimbursement for heating system repair or replacement already completed, all such work must have been done by a contractor who meets Weatherization Program guideline
s (e.g., has all required licenses, required insurance coverage, etc.) and must pass inspection by an agency Weatherization Auditor, HVAC Technician, or QCI inspector. An ECIP Heating System Repair/Replacement Inspection Sheet is to be completed by the person inspecting the work and maintained in the client file (including a picture of the repair (when an inspection is required) or the new unit, when a replacement is made). Appendix G - Heating System Installation Standards must be met before a repair or replacement is deemed to have passed inspection. Payments cannot be made to the contractor until the work passes inspection.

Funds can also be used to pay for hook-up of an LP tank to a new heating system, and/or LP tank regulators that must be replaced. This component begins October 1st and ends September 30th.

(2) Shelter, Blankets, Electric Portable Space Heaters
Payment for obtaining temporary shelter, purchase of blankets and/or electric portable space heaters. A maximum payment of $300 per household may be made. There is not limit to the number of space heaters a household can receive, except the expenditure limit. This component begins October 1st and ends September 30th. The following are minimum requirements for space heaters:

Portable Space Heater Requirements (not wall-mounted)
 Wattage Output = 1500 Watts
 Power Source = Electric
 Safety Features = Auto Shutoff / overheat protection

(3) Emergency Delivery
Deliverable fuel vendors will be instructed to make the minimal delivery amount, not to exceed $500, to assure an uninterrupted supply of fuel. This component begins October 1st and ends September 30th. For a household to qualify for an emergency delivery, the fuel tank must be at, or below 20%, or empty. Emergency delivery for an empty tank must be coded separately from a tank that is 20% full, or less.

(4) Emergency Reconnect
For non-deliverable fuel customers, an initial payment can be made, up to $500, to establish reconnection with a household’s primary and/or secondary vendor, provided it would assure reconnection. This may include necessary deposits. Benefit can be received prior to receiving regular LIHEAP benefit. This component begins October 1st and ends September 30th.

(5) Service Continuity Crisis
A household with a disconnect notice, disconnection is imminent (client does not have a disconnect notice but will if the next payment is missed), and/or arrearage with either their primary or secondary vendor may receive a maximum of $500 paid directly to their vendor. This may include payments towards a deliverable fuel customer’s arrearage or deposit. This component begins October 1st and ends September 30th.

(6) Emergency Cooling
Up to $350 per household may be used for:

Central Air Conditioning Unit
 o Homeowners only
 o Where medically necessary (must have a statement from a health care provider (this includes Head Start nurses) explaining that the air conditioner would be beneficial for the LIHEAP customer due to their health condition, to be included in the file)
 o Repair (including tune and clean), purchase of unit, installation of unit

Window Air Conditioning Unit/Evaporative Coolers
 o Homeowners and renters (must have signed landlord, owner, or property manager approval statement, to be included in the file)
 o Where medically necessary (must have a statement from a health care provider (this includes Head Start nurses) explaining that the air conditioner would be beneficial for the LIHEAP customer due to their health condition, to be included in the file)
 o Repair (including tune and clean), purchase of unit, installation of unit
 o One unit per household in a given year
 o No household can receive a window air unit/evaporative cooler in two consecutive program years

ECIP funds may also be used for both homeowners and renters:
• Purchasing fans (does not have to be medically necessary)
Transporting clients to cooling centers
• Other measures that may provide life-saving benefits to combat excessive heat

No expenditures for the emergency cooling component will be allowed from October 1st through April 30th. Funds can be used to purchase window air conditioners for use the next program year. Once an air conditioner is paid for with program funds and distributed to the client, the CAA is no longer responsible regarding ownership of the unit.

Crisis Requirements, 2604(c)

4.10 Do you accept applications for energy crisis assistance at sites that are geographically accessible to all households in the area to be served?

☐ Yes ☐ No Explain.

Iowa has 99 counties with at least one outreach office in each county. Statewide, there are 112 outreach offices. Most are open 40 hours per week.

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

Submit applications for crisis benefits without leaving their homes?

☐ Yes ☐ No If No, explain.

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

☐ Yes ☐ No If No, explain.

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?

Transportation is not provided, but agencies are contractually required to make a home visit if needed.

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

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

<table>
<thead>
<tr>
<th>Crisis</th>
<th>Maximum Benefit</th>
</tr>
</thead>
<tbody>
<tr>
<td>Winter Crisis</td>
<td>$0.00</td>
</tr>
<tr>
<td>Summer Crisis</td>
<td>$0.00</td>
</tr>
<tr>
<td>Year-round Crisis</td>
<td>$3,650.00</td>
</tr>
</tbody>
</table>

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

☐ Yes ☐ No If yes, Describe

Payment for obtaining temporary shelter, purchase of blankets and/or electric portable space heaters. A maximum payment of $300 per household may be made. There is no limit to the number of space heaters a household can receive, except the expenditure limit. This component begins October 1st, and ends September 30th. The following are minimum requirements for electric portable space heaters:

Portable Space Heater Requirements (not wall-mounted)
- Wattage Output = 1500 Watts
- Power Source = Electric
- Safety Features = Auto Shutoff / overheat protection

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

☐ Yes ☐ No

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

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

<table>
<thead>
<tr>
<th></th>
<th>Winter Crisis</th>
<th>Summer Crisis</th>
<th>Year-round Crisis</th>
</tr>
</thead>
<tbody>
<tr>
<td>Heating system repair</td>
<td></td>
<td></td>
<td>☑</td>
</tr>
<tr>
<td>Heating system replacement</td>
<td></td>
<td></td>
<td>☑</td>
</tr>
<tr>
<td>Cooling system repair</td>
<td></td>
<td></td>
<td>☑</td>
</tr>
<tr>
<td>Cooling system replacement</td>
<td></td>
<td></td>
<td>☑</td>
</tr>
<tr>
<td>Wood stove purchase</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Pellet stove purchase</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>---------------------</td>
<td>---</td>
<td>---</td>
<td>---</td>
</tr>
<tr>
<td>Solar panel(s)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Utility poles / gas line hook-ups</td>
<td></td>
<td></td>
<td>☑</td>
</tr>
<tr>
<td>Other (Specify):</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

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

☐ Yes ☐ 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.

State law provides that all households certified eligible for energy assistance (LIHEAP) and/or Weatherization (WX) are protected from disconnection of the household’s natural gas and electric service from November 1 through April 1. This law applies to every regulated utility in the state.

If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.
Section 5: WEATHERIZATION ASSISTANCE

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

<table>
<thead>
<tr>
<th>Add</th>
<th>Household Size</th>
<th>Eligibility Guideline</th>
<th>Eligibility Threshold</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>All Household Sizes</td>
<td>HHS Poverty Guidelines</td>
<td>200.00%</td>
</tr>
</tbody>
</table>

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

5.3 If yes, name the agency.

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

WEATHERIZATION - Types of Rules

5.5 Under what rules do you administer LIHEAP weatherization? (Check only one.)
- 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
- Renters living in subsidized housing
- Elderly?
- Disabled?

5.8 Do you give priority in eligibility to:
- Elderly?  
- Disabled?
Priority for receiving service is given to households with the highest energy usage (greatest potential for savings) with additional priority to households occupied by elderly persons, persons with disabilities, and/or young children. The priority system is consistently applied to all housing types, single family, mobile homes, and multi-unit dwellings.

Client selection for service is based on a point system which is based on an estimate of annual client bill savings for heating, water heating, and air conditioning measures. Additional points are given if any household members are elderly, disabled, or young children.

A household's client point total will be increased by 5 percent for each of the following situations:

- The household is occupied by an elderly person
- The household is occupied by a person with disabilities
- The household is occupied by young children

(A household's priority point total could be increased by 15 percent if each of the situations listed above exists.)

Benefit Levels

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

5.10 If yes, what is the maximum? $0

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

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

- [ ] Weatherization needs assessments/audits
- [ ] Caulking and insulation
- [ ] Energy related roof repair
- [ ] Major appliance Repairs
- [ ] Storm windows
- [ ] Modular appliance replacement
- [ ] Furnace/heating system modifications/repairs
- [ ] Windows/sliding glass doors
- [ ] Furnace replacement
- [ ] Doors
- [ ] Cooling system modifications/repairs
- [ ] Water Heater
- [ ] Water conservation measures
- [ ] Cooling system replacement
- [ ] Compact florescent light bulbs
- [ ] Other - Describe:

If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.
Section 6 - Outreach, 2605(b)(3) - Assurance 3, 2605(c)(3)(A)

6.1 Select all outreach activities that you conduct that are designed to assure that eligible households are made aware of all LIHEAP assistance available:

- Place posters/flyers in local and county social service offices, offices of aging, Social Security offices, VA, etc.
- Publish articles in local newspapers or broadcast media announcements.
- Include inserts in energy vendor billings to inform individuals of the availability of all types of LIHEAP assistance.
- Mass mailing(s) to prior-year LIHEAP recipients.
- Inform low income applicants of the availability of all types of LIHEAP assistance at application intake for other low-income programs.
- Execute interagency agreements with other low-income program offices to perform outreach to target groups.
- Other (specify):

If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.
Section 7: Coordination, 2605(b)(4) - Assurance 4

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

<table>
<thead>
<tr>
<th>Coordination Method</th>
</tr>
</thead>
<tbody>
<tr>
<td>] Joint application for multiple programs</td>
</tr>
<tr>
<td>] Intake referrals to/from other programs</td>
</tr>
<tr>
<td>] One-stop intake centers</td>
</tr>
<tr>
<td>] Other - Describe:</td>
</tr>
</tbody>
</table>

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 (Required for state grantees and the Commonwealth of Puerto Rico)

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

- Administration Agency [ ]
- Commerce Agency [ ]
- Community Services Agency [ ]
- Energy / Environment Agency [ ]
- Housing Agency [ ]
- Welfare Agency [ ]
- Other - Describe: [ ]

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

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

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

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

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

8.5 LIHEAP Component Administration.

<table>
<thead>
<tr>
<th>LIHEAP Component Administration</th>
<th>Heating</th>
<th>Cooling</th>
<th>Crisis</th>
<th>Weatherization</th>
</tr>
</thead>
<tbody>
<tr>
<td>8.5b Who processes benefit payments to gas and electric vendors?</td>
<td>Community Action Agencies</td>
<td>Community Action Agencies</td>
<td>Community Action Agencies</td>
<td>Community Action Agencies</td>
</tr>
<tr>
<td>8.5c Who processes benefit payments to bulk fuel vendors?</td>
<td>Community Action Agencies</td>
<td>Community Action Agencies</td>
<td>Community Action Agencies</td>
<td>Community Action Agencies</td>
</tr>
<tr>
<td>8.5d Who performs installation of weatherization</td>
<td></td>
<td></td>
<td></td>
<td>Local County Govern</td>
</tr>
</tbody>
</table>
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.

<table>
<thead>
<tr>
<th>8.6 What is your process for selecting local administering agencies?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Preference is given to community action agencies (CAAs), per Iowa Code, Chapter 216A.</td>
</tr>
</tbody>
</table>

| 8.7 How many local administering agencies do you use? | 17 |

<table>
<thead>
<tr>
<th>8.8 Have you changed any local administering agencies in the last year?</th>
</tr>
</thead>
<tbody>
<tr>
<td>☐ Yes</td>
</tr>
<tr>
<td>☑ No</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>8.9 If so, why?</th>
</tr>
</thead>
<tbody>
<tr>
<td>☐ Agency was in noncompliance with grantee requirements for LIHEAP -</td>
</tr>
<tr>
<td>☐ Agency is under criminal investigation</td>
</tr>
<tr>
<td>☐ Added agency</td>
</tr>
<tr>
<td>☐ Agency closed</td>
</tr>
<tr>
<td>☐ Other - describe</td>
</tr>
</tbody>
</table>

If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.
### Section 9: Energy Suppliers, 2605(b)(7) - Assurance 7

#### 9.1 Do you make payments directly to home energy suppliers?

<table>
<thead>
<tr>
<th>Heating</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cooling</td>
<td>No</td>
<td>Yes</td>
</tr>
<tr>
<td>Crisis</td>
<td>Yes</td>
<td>No</td>
</tr>
</tbody>
</table>

**If yes, Describe.**

Eligible households who pay an undesignated portion of their rent toward energy costs will receive assistance sent directly to their secondary (electric) provider.

Direct payments to eligible households must be approved by the state office in all circumstances with the exception of the following:

- **Vendor circumstances as outlined on in the Disconnected Applicants section of this manual.**
- **When both primary and secondary utilities are included in the rent and the account is in the landlord’s name.**
- **When an CAA is unable to locate a vendor for a deliverable fuel customer (e.g., vendor will not sign a General Vendor Agreement, or a vendor is not able to service the tank because it belongs to a different vendor, it is a portable tank, etc.), they are required to offer a choice of either a direct pay to the applicant or payment to a secondary vendor, and the deliverable fuel customer chooses a direct pay.**
- **Vendor circumstances as outlined on in the Disconnected Applicants section of this manual.**
- **The assistance award for households whose primary source of heat is wood/coal/corn will be forwarded to the household’s electric supplier if a suitable wood/coal/corn vendor is not available. If no electric supplier exists, a direct payment to the applicant may be made.**

*The CAA must have verified documentation for any direct payments.*

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

A determination letter is given to clients at the time of application.

#### 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?

This is included as a provision in our vendor agreements and monitored for compliance.

#### 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?

This is included as a provision in our vendor agreements and monitored for compliance.

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

- Yes | No

**If so, describe the measures unregulated vendors may take.**

If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.
10.1. How do you ensure good fiscal accounting and tracking of LIHEAP funds?

The Contractor must adhere to all applicable state and federal guidelines, laws, regulations, Office of Management and Budget (OMB) 2 C FR Part 200, Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards. CAAs will be monitored by state personnel on a regular basis to ensure regulation compliance. On-site visits to selected CAAs and their outreach offices will be conducted throughout the program year. Monthly reporting requirements will help provide information necessary to determine whether or not CAAs are in compliance with program and fiscal regulations. The state will prepare/obtain financial and compliance audits of the Energy Assistance Program annually pursuant to the Single Audit Act of 1984. The audits will be conducted in accordance with the Comptroller General’s standards for audit of governmental organizations and programs, by an organization or person independent of agencies administering LIHEAP activities. The audits will be made public on a timely basis. The Auditor of State will submit the audits to the legislature and Department of Health and Human Services within 30 days after completion.

Audit Process

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

- Yes
- No

10.3. Describe any audit findings rising to the level of material weakness or reportable condition cited in the A-133 audits, Grantee monitoring assessments, inspector general reviews, or other government agency reviews of the LIHEAP agency from the most recently audited fiscal year.

No Findings

<table>
<thead>
<tr>
<th>Finding</th>
<th>Type</th>
<th>Brief Summary</th>
<th>Resolved?</th>
<th>Action Taken</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

10.4. Audits of Local Administering Agencies

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

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

Compliance Monitoring

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

- Grantee employees:
  - Internal program review
  - Departmental oversight
  - Secondary review of invoices and payments
  - Other program review mechanisms are in place. Describe:
Local Administering Agencies / District Offices:

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

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

Every community action agency is monitored annually for programmatic and fiscal compliance. On-site evaluation visits will specifically monitor: Outreach efforts, including hours available for clients to apply and protection of client confidentiality; coordination with other human service agencies; the opportunity for a client to complete an application within ten (10) days of initial contact; time elapsed between application date and payment made to vendor on behalf of client. Contractor shall strive to keep elapsed time at fourteen (14) days or less; Proper verification of household income, correct eligibility determination, and accurate award calculation; determination of eligibility at time of application with client letter and appeal and hearing procedure provided to applicants at that time; upload to the data exchange server, where applicable, client application/approval/denial information for both primary and secondary vendors on a weekly basis; Weekly submission, where applicable, to the DCAA a composite listing of all applied/approved/denied and paid applications, including all client characteristics, once a week from November through April 30th; Correct and timely payments of assistance for households as provided in the State Plan; signed vendor agreements with all vendors receiving LIHEAP funds; appeal and hearing procedures; Administrative and associated program budget and costs; accounting systems regarding collection of financial information reported to the DCAA and documentation of monthly financial reports and funding requests; Other provisions covered in the Contract as deemed necessary and appropriate by DCAA.

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

Site Visits:

Every community action agency is monitored annually for programmatic and fiscal compliance. Site Visits: Annually

Desk Reviews:

Desk Reviews: As needed

10.8. How often is each local agency monitored?

Annually for program and fiscal.

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

N/A

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

N/A

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

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

If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.
Section 11: Timely and Meaningful Public Participation, 2605(b)(12), 2605(C)(2)

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

- Tribal Council meeting(s)
- Public Hearing(s)
- Draft Plan posted to website and available for comment
- Hard copy of plan is available for public view and comment
- Comments from applicants are recorded
- Request for comments on draft Plan is advertised
- Stakeholder consultation meeting(s)
- Comments are solicited during outreach activities
- Other - Describe:

    The state meets formally 5 times a year with the Iowa Directors of Energy Assistance (IDEA). These are the agency staff that head the CA As’ LIHEAP program. Policy changes are formulated and discussed at these meetings. IDEA meetings also provide train the trainer opportunities.

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

None

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

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

<table>
<thead>
<tr>
<th>Date</th>
<th>Event Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>08/01/2019</td>
<td>Lucas State Office Building, Room 208, Des Moines, Iowa</td>
</tr>
</tbody>
</table>

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

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

Comments are attached.

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

The following changes were made as a result of the public hearing:

- Section 4.7 - “Do you have additional/differing eligibility policies for renters living in subsidized housing?” had been marked “No”. It was changed to “Yes”, with an explanation that renters living in subsidized housing must have an energy burden in order to receive energy assistance.
- Section 9.1 - An exception to pay the household instead of the home energy supplier for portable propane tanks was added.
- Section 11.5 - Comments, rather than a transcript of the public hearing, are being submitted along with the model plan.
- Section 14.3 - Funding from the utilities has decreased, therefore the text was changed accordingly.
- Section 17.3 - Adult household members are allowed to present their current Iowa Driver’s License in lieu of a Social Security Card (or other approved documentation). Beginning with FY20, household members may also present a Photo ID, which is also obtained through the Iowa DO
Both the Iowa Driver’s License and Photo ID are issued only to persons lawfully in the United States.

If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.
Section 12: Fair Hearings, 2605(b)(13) - Assurance 13

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

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

An applicant may initiate an appeal if the application was denied, or incorrect facts or improper procedures were used to determine eligibility, assistance amounts, or services. The applicant has 30 calendar days from the date of the approval or denial letter to appeal that decision by mailing or delivering the request for appeal to the local administering agency (LAA) at which the application was made.

If the LAA neither approves nor denies the application within 30 calendar days of receipt of a complete application, the applicant may treat the failure to act as a denial. The applicant then has 30 additional calendar days to appeal.

To appeal, the applicant (claimant) must submit a written appeal to the LAA at which they applied, and include the action the applicant would like taken, and any other information which might affect the decision. Those claimants unable to read or write shall have the LAA assist them in reading, writing, or understanding appeals, hearings, and their associated procedures.

The LAA will act on the claimant’s request and notify the claimant of the result in writing within seven calendar days of the date an appeal was requested (postmark date if sent in mail).

If the claimant does not agree with the decision reached, the claimant may write the LAA within 14 calendar days of the decision (postmark date if sent in mail) and request that a state hearing be held with the Division of Community Action Agencies (DCAA). The claimant must explain in writing why the agency’s decision is being appealed and include any information which might affect the decision.

The LAA will forward all information about the request for a hearing to the DCAA and a hearing will be scheduled within 14 calendar days of receipt of the appeal and request for a hearing. The claimant will receive written notice of a state scheduled hearing from the division. The notice will include the date, time, and place of the hearing. State hearings may be held by telephone at a mutually convenient time or in person. During the hearing, all information will be reviewed and a decision will be rendered by the division within 7 calendar days.

The client may appeal the decision of the DCAA to the Iowa Department of Inspection and Appeals (DIA). The client must submit a written appeal to the DCAA within 7 calendar days (postmark date if sent in mail) of receiving the division’s decision. The division will follow the appeal procedures outlined in 481 – Chapter 10 of the Iowa Administrative Code.

12.5 When and how are applicants informed of these rights?

Each applicant is given a copy of the appeal procedure at the time of application. It is also posted at every intake site and on the state website.

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

Same as outlined in 12.4, the applicant gets the same approval/denial letter that also states their right to appeal in the event they believe their application is not acted on in a timely manner. They will be notified that their application will be acted upon in 30 calendar days.

12.7 When and how are applicants informed of these rights?
Each applicant is given a copy of the appeal procedure at the time of application that fully explains these rights. A copy of the approval/denial letter that also outlines their right to appeal is also posted at every intake site and on the state website.

If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.
Section 13: Reduction of home energy needs, 2605(b)(16) - Assurance 16

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

The following are allowable activities using Assurance 16 funds:

1) Conservation Education
2) Low-cost energy efficiency measures
3) Crisis Application

Crisis Application Components:
A. Needs Assessment (examines payment and usage history)
B. Vendor Negotiation (includes any contact with vendor)
C. Money Management Review
D. Customer Advocacy (this may include assisting in the application of other resources/programs, home visits, home energy evaluations, energy wise kit/class, etc.)

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

These funds are allocated as a unique line item. Subgrantee budgets are monitored carefully for activities that could be captured under this assurance.

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

While not easily quantifiable, households receiving assistance or measures through conservation education and low-cost energy efficiency will experience usage reduction. Other measures provided allowed them to get or retain utility service, or manage their money to a greater degree.

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

N/A

13.5 How many households applied for these services? Households do not apply, but are targeted for these services.

13.6 How many households received these services? Through the first three quarters of the program year (FY19): 31,977 households received conservation education, 9,464 households completed a needs assessment, 3,877 households received budget counseling, 694 households received low-cost energy-efficient measures, 8,469 households were assisted in negotiating payment agreements with their vendors, 6,422 households were referred to or assisted by other resources through customer advocacy. We will continue to collect this data for the remainder of the year.

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, 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.

We continue to collect this information until such time as we are able to submit a report.

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:

<table>
<thead>
<tr>
<th>Resource</th>
<th>What is the type of resource or benefit?</th>
<th>What is the source(s) of the resource?</th>
<th>How will the resource be integrated and coordinated with LIHEAP?</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Customer Contribution Funds</td>
<td>These funds represent a legislatively mandated customer contribution program, for all state regulated utilities. Customers and members donate money in addition to their energy bill. The utility companies also match donated funds with funds of their own.</td>
<td>These funds are passed through to local community action agencies to augment LIHEAP and Weatherization assistance to low-income households. This is a legislatively mandated program. Members of Iowa's community action agencies, the state energy assistance office, the state weatherization office, and low-income representatives were instrumental in establishing rules for these programs.</td>
</tr>
<tr>
<td>2</td>
<td>MidAmerican Energy, Interstate Power and Light, Black Hills Energy Weatherization of low-income customers</td>
<td>These funds are the continuation of a one-time legislatively mandated program that regulated utilities return money to low-income customers for energy efficiency programs.</td>
<td>Program representatives have, and continue to document and report on low-income households' energy burdens, and the impact of those burdens on the household's ability to meet basic needs. Through personal contact with utility representatives, LIHEAP program representatives have negotiated low-income energy efficiency funding.</td>
</tr>
</tbody>
</table>

If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.
Section 15: Training

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

a. Grantee Staff:

- [X] Formal training on grantee policies and procedures

<table>
<thead>
<tr>
<th>How often?</th>
</tr>
</thead>
<tbody>
<tr>
<td>☐ Annually</td>
</tr>
<tr>
<td>☐ Biannually</td>
</tr>
<tr>
<td>[X] As needed</td>
</tr>
<tr>
<td>☐ Other - Describe:</td>
</tr>
</tbody>
</table>

- [X] Employees are provided with policy manual

b. Local Agencies:

- [X] Formal training conference

<table>
<thead>
<tr>
<th>How often?</th>
</tr>
</thead>
<tbody>
<tr>
<td>[X] Annually</td>
</tr>
<tr>
<td>☐ Biannually</td>
</tr>
<tr>
<td>☐ As needed</td>
</tr>
<tr>
<td>☐ Other - Describe:</td>
</tr>
</tbody>
</table>

- [X] On-site training

<table>
<thead>
<tr>
<th>How often?</th>
</tr>
</thead>
<tbody>
<tr>
<td>☐ Annually</td>
</tr>
<tr>
<td>☐ Biannually</td>
</tr>
<tr>
<td>[X] As needed</td>
</tr>
<tr>
<td>☐ Other - Describe:</td>
</tr>
</tbody>
</table>

- [X] Employees are provided with policy manual

c. Vendors

- [X] Formal training conference

<table>
<thead>
<tr>
<th>How often?</th>
</tr>
</thead>
<tbody>
<tr>
<td>☐ Annually</td>
</tr>
<tr>
<td>☐ Biannually</td>
</tr>
<tr>
<td>☐ As needed</td>
</tr>
<tr>
<td>☐ Other - Describe:</td>
</tr>
<tr>
<td>Other - Describe:</td>
</tr>
<tr>
<td>------------------</td>
</tr>
<tr>
<td>☑ Policies communicated through vendor agreements</td>
</tr>
<tr>
<td>☑ Policies are outlined in a vendor manual</td>
</tr>
<tr>
<td>☐ Other - Describe:</td>
</tr>
</tbody>
</table>

15.2 Does your training program address fraud reporting and prevention?
- ☑ Yes
- ☐ No

If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.
Section 16: Performance Goals and Measures, 2605(b) - Required for States Only

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

Iowa collects the four required LIHEAP performance measures:

- Restoration of service
- Imminent disconnection of service averted
- Fuel delivered to empty tank
- Fuel delivered to tank with 20% or less remaining

The data is being collected from the 5 largest gas and 5 largest electric utilities, along with our 10 largest propane vendors.

Beginning with FFY20, subgrantees will be required to utilize a crisis module in their software system which we anticipate will produce more accurate results.

If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.
Section 17: Program Integrity, 2605(b)(10)

17.1 Fraud Reporting Mechanisms

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

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

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

- [ ] Printed outreach materials
- [ ] Addressed on LIHEAP application
- [ ] Website
- [ ] Other - Describe:

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.

<table>
<thead>
<tr>
<th>Type of Identification Collected</th>
<th>Collected from Whom?</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Applicant Only</td>
</tr>
<tr>
<td>Social Security Card is photocopied and retained</td>
<td>Required</td>
</tr>
<tr>
<td>Social Security Number (Without actual Card)</td>
<td>Required</td>
</tr>
<tr>
<td>Government-issued identification card (i.e.: driver’s license, state ID, Tribal ID, passport, etc.)</td>
<td>Required</td>
</tr>
</tbody>
</table>
b. Describe any exceptions to the above policies.

If any household member is a temporary foreign national not authorized for employment, verification of a social security number may be waived. However, they must present their I-94 card, or other acceptable documentation as outlined in the Iowa LIHEAP Policy and Procedures Manual. Any household containing an ineligible member may apply as long as the ineligible member is not counted as a member, however, the ineligible member's income must be counted and documented for household eligibility determination. Ineligible member is defined as a foreign national unable to submit required documents. We continue to have a procedure that allows for the waiver of the social security requirement for some U.S. citizen family members, in extenuating circumstances and on a case by case basis (e.g., custody issues, adoption, newborn, foster care, etc.).

17.3 Identification Verification
Describe what methods are used to verify the authenticity of identification documents provided by clients or household members. Select all that apply

- Verify SSNs with Social Security Administration
- Match SSNs with death records from Social Security Administration or state agency
- Match SSNs with state eligibility/case management system (e.g., SNAP, TANF)
- Match with state Department of Labor system
- Match with state and/or federal corrections system
- Verification using private software (e.g., The Work Number)
- In-person certification by staff (for tribal grantees only)
- Match SSN/Tribal ID number with tribal database or enrollment records (for tribal grantees only)
- Other - Describe:

At this time, our only requirement is that all eligible household members, regardless of age, provide documentation of social security number, primarily using their social security card, or an I-94 card for foreign nationals. We are awaiting further guidance and technical assistance from HHS regarding real time access to the SSA's database for the purposes of electronic verification.

Household members may also present a current Iowa Driver's License or Photo ID, both of which are obtained through the Iowa Department of Transportation and are issued only to persons lawfully in the United States.

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

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

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

- Require documentation of income for all adult household members
  - Pay stubs
  - Social Security award letters
  - Bank statements
  - Tax statements
17.6. Protection of Privacy and Confidentiality
Describe the financial and operating controls in place to protect client information against improper use or disclosure. Select all that apply.

- Policy in place prohibiting release of information without written consent
- Grantee LIHEAP database includes privacy/confidentiality safeguards
- Employee training on confidentiality for:
  - Grantee employees
  - Local agencies/district offices
- Employees must sign confidentiality agreement
- Grantee employees
- Local agencies/district offices
- Physical files are stored in a secure location
- Other - Describe:
  - Privacy and confidentiality must be maintained as per the Iowa Department of Human Rights’ policy, stated in Iowa Code, Chapter 216A.6, which is also included in the contract between the grantee and subgrantee.

17.7. Verifying the Authenticity
What policies are in place for verifying vendor authenticity? Select all that apply.

- All vendors must register with the State/Tribe.
- All vendors must supply a valid SSN or TIN/W-9 form
- Vendors are verified through energy bills provided by the household
- Grantee and/or local agencies/district offices perform physical monitoring of vendors
- Other - Describe and note any exceptions to policies above:
  - Vendors are also verified through the System for Award Management (sam.gov) website.

17.8. Benefits Policy - Gas and Electric Utilities
What policies are in place to protect against fraud when making benefit payments to gas and electric utilities on behalf of clients? Select all that apply.

- Applicants required to submit proof of physical residency
- Applicants must submit current utility bill
- Data exchange with utilities that verifies:
  - Account ownership
  - Consumption
  - Balances
  - Payment history
- Account is properly credited with benefit
<table>
<thead>
<tr>
<th>Other - Describe:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Centralized computer system/database tracks payments to all utilities</td>
</tr>
<tr>
<td>Centralized computer system automatically generates benefit level</td>
</tr>
<tr>
<td>Separation of duties between intake and payment approval</td>
</tr>
<tr>
<td>Payments coordinated among other energy assistance programs to avoid duplication of payments</td>
</tr>
<tr>
<td>Payments to utilities and invoices from utilities are reviewed for accuracy</td>
</tr>
<tr>
<td>Computer databases are periodically reviewed to verify accuracy and timeliness of payments made to utilities</td>
</tr>
<tr>
<td>Direct payment to households are made in limited cases only</td>
</tr>
<tr>
<td>Procedures are in place to require prompt refunds from utilities in cases of account closure</td>
</tr>
<tr>
<td>Vendor agreements specify requirements selected above, and provide enforcement mechanism</td>
</tr>
</tbody>
</table>

17.9. Benefits Policy - Bulk Fuel Vendors

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

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

17.10. Investigations and Prosecutions

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

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

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 modi...
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, 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.
This certification is required by the regulations implementing the Drug-Free Workplace Act of 1988: 45 CFR Part 76, Subpart, F. Sections 76.630(c) and (d)(2) and 76.645(a)(1) and (b) provide that a Federal agency may designate a central receipt point for STATE-WIDE AND STATE AGENCY-WIDE certifications, and for notification of criminal drug convictions. For the Department of Health and Human Services, the central pint is: Division of Grants Management and Oversight, Office of Management and Acquisition, Department of Health and Human Services, Room 517-D, 200 Independence Avenue, SW Washington, DC 20201.

Certification Regarding Drug-Free Workplace Requirements (Instructions for Certification)

1. By signing and/or submitting this application or grant agreement, the grantee is providing the certification set out below.

2. The certification set out below is a material representation of fact upon which reliance is placed when the agency awards the grant. If it is later determined that the grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.

3. For grantees other than individuals, Alternate I applies.

4. For grantees who are individuals, Alternate II applies.

5. Workplaces under grants, for grantees other than individuals, need not be identified on the certification. If known, they may be identified in the grant application. If the grantee does not identify the workplaces at the time of application, or upon award, if there is no application, the grantee must keep the identity of the workplace(s) on file in its office and make the information available for Federal inspection. Failure to identify all known workplaces constitutes a violation of the grantee's drug-free workplace requirements.

6. Workplace identifications must include the actual address of buildings (or parts of buildings) or other sites where work under the grant takes place. Categorical descriptions may be used (e.g., all vehicles of a mass transit authority or State highway department while in operation, State employees in each local unemployment office, performers in concert halls or radio studios).

7. If the workplace identified to the agency changes during the performance of the grant, the grantee shall inform the agency of the change(s), if it previously iden
tified the workplaces in question (see paragraph five).

8. Definitions of terms in the Nonprocurement Suspension and Debarment common rule and Drug-Free Workplace common rule apply to this certification. Grantees' attention is called, in particular, to the following definitions from these rules:

**Controlled substance** means a controlled substance in Schedules I through V of the Controlled Substances Act (21 U.S.C. 812) and as further defined by regulation (21 CFR 1308.11 through 1308.15);

**Conviction** means a finding of guilt (including a plea of nolo contendere) or imposition of sentence, or both, by any judicial body charged with the responsibility to determine violations of the Federal or State criminal drug statutes;

**Criminal drug statute** means a Federal or non-Federal criminal statute involving the manufacture, distribution, dispensing, use, or possession of any controlled substance;

**Employee** means the employee of a grantee directly engaged in the performance of work under a grant, including: (i) All direct charge employees; (ii) All indirect charge employees unless their impact or involvement is insignificant to the performance of the grant; and, (iii) Temporary personnel and consultants who are directly engaged in the performance of work under the grant and who are on the grantee's payroll. This definition does not include workers not on the payroll of the grantee (e.g., volunteers, even if used to meet a matching requirement; consultants or independent contractors not on the grantee's payroll; or employees of subrecipients or subcontractors in covered workplaces).

**Certification Regarding Drug-Free Workplace Requirements**

**Alternate I. (Grantees Other Than Individuals)**

The grantee certifies that it will or will continue to provide a drug-free workplace by,

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
(b) Establishing an ongoing drug-free awareness program to inform employees about --
   (1) The dangers of drug abuse in the workplace;
   (2) The grantee's policy of maintaining a drug-free workplace;
   (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
   (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
(c) Making it a requirement that each employee to be engaged in the performance of
the grant be given a copy of the statement required by paragraph (a);
(d) Notifying the employee in the statement required by paragraph (a) that, as a condi-
tion 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 crimi-
 nal 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 un-
der paragraph (d)(2) from an employee or otherwise receiving actual notice of suc-
h conviction. Employers of convicted employees must provide notice, including po-
sition title, to every grant officer or other designee on whose grant activity the conv-
icted employee was working, unless the Federal agency has designated a central p-
 oint 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 un-
der 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 termin-
ation, consistent with the requirements of the Rehabilitation Act of 1973, as amend-
ed; 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 h-
 ealth, law enforcement, or other appropriate agency;
(g) Making a good faith effort to continue to maintain a drug-free workplace through
 implementation of paragraphs (a), (b), (c), (d), (e) and (f).
(B) The grantee may insert in the space provided below the site(s) for the perform-
ance of work done in connection with the specific grant:

**Place of Performance (Street address, city, county, state, zip code)**

321 East 12th Street, Des Moines, Polk County, Iowa 50319

* Address Line 1

Address Line 2

Address Line 3

Des Moines

* City

IA

* State

50319

* Zip Code

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

**Alternate II. (Grantees Who Are Individuals)**

(a) The grantee certifies that, as a condition of the grant, he or she will not engage i
n the unlawful manufacture, distribution, dispensing, possession, or use of a contr
rolled substance in conducting any activity with the grant;

(b) If convicted of a criminal drug offense resulting from a violation occurring durin-
g the conduct of any grant activity, he or she will report the conviction, in writing, w
ithin 10 calendar days of the conviction, to every grant officer or other designee, un
less 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.
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.
ion 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.
(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 und
er any other provision of law which carries out programs which were administere
der under the Economic Opportunity Act of 1964 before the date of the enactment
do this Act;

(4) coordinate its activities under this title with similar and related programs adm
inistered by the Federal Government and such State, particularly low-income ene
ergy-related programs under subtitle B of title VI (relating to community services
title VI (relating to community services
block grant program), under the supplemental security income program, under p
art 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 E
nergy Conservation and Production Act, or under any other provision of law whi
ch carries out programs which were administered under the Economic Opportun
ity 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 furnis
ed to those households which have the lowest incomes and the highest energy c
osts or needs in relation to income, taking into account family size, except that t
he State may not differentiate in implementing this section between the househol
ds described in clauses 2(A) and 2(B) of this subsection;

(6) to the extent it is necessary to designate local administrative agencies in orde
r to carry out the purposes of this title, to give special consideration, in the desig
nation of such agencies, to any local public or private nonprofit agency which w
as receiving Federal funds under any low-income energy assistance program or
weatherization program under the Economic Opportunity Act of 1964 or any othe
r 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; a
nd

(B) if there is no such agency because of any change in the assistance furnish
ed to programs for economically disadvantaged persons, then the State shall give s
pecial consideration in the designation of local administrative agencies to any succ
essor agency which is operated in substantially the same manner as the predecess
or agency which did receive funds for the fiscal year preceding the fiscal year for w
ich the determination is made;

(7) if the State chooses to pay home energy suppliers directly, establish procedu
res 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 ener
gy 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 agre
ement entered into with a home energy supplier under this paragraph will contain p
provisions to assure that no household receiving assistance under this title will be treated adversely because of such assistance under applicable provisions of State law or public regulatory requirements; and

(D) ensure that the provision of vendor payments remains at the option of the State in consultation with local grantees and may be contingent on unregulated vendors taking appropriate measures to alleviate the energy burdens of eligible households, including providing for agreements between suppliers and individuals eligible for benefits under this Act that seek to reduce home energy costs, minimize the risks of home energy crisis, and encourage regular payments by individuals receiving financial assistance for home energy costs;

(8) provide assurances that,

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

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

(9) provide that--

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

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

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

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

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

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

(14) cooperate with the Secretary with respect to data collecting and reporting under section 2610.
(15) * beginning in fiscal year 1992, provide, in addition to such services as may be offered by State Departments of Public Welfare at the local level, outreach and intake functions for crisis situations and heating and cooling assistance that is administered by additional State and local governmental entities or community-based organizations (such as community action agencies, area agencies on aging and not-for-profit neighborhood-based organizations), and in States where such organizations do not administer functions as of September 30, 1991, preference in awarding grants or contracts for intake services shall be provided to those agencies that administer the low-income weatherization or energy crisis intervention programs.

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

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

**PLAN ATTACHMENTS**

The following documents must be attached to this application:

- Delegation Letter is required if someone other than the Governor or Chairman Certified this Report.
- Heating component benefit matrix, if applicable
- Cooling component benefit matrix, if applicable
- Minutes, notes, or transcripts of public hearing(s).