DETAILED MODEL PLAN (LIHEAP)

Program Name: Low Income Home Energy Assistance
Grantee Name: Kentucky
Report Name: DETAILED MODEL PLAN (LIHEAP) Revision # 2
Report Period: 10/01/2019 to 09/30/2020
Report Status: Submission Accepted by CO (Revision #2)

Report Sections

1. Mandatory Grant Application SF-424
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3. Section 2 - HEATING ASSISTANCE
4. Section 3 - COOLING ASSISTANCE
5. Section 4 - CRISIS ASSISTANCE
6. Section 5 - WEATHERIZATION ASSISTANCE
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8. Section 7 - Coordination, 2605(b)(4) - Assurance 4
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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

<table>
<thead>
<tr>
<th></th>
<th></th>
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</tr>
</thead>
<tbody>
<tr>
<td>G Plan</td>
<td>G Annual</td>
<td>Explanation:</td>
<td>Initial</td>
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<table>
<thead>
<tr>
<th>2. Date Received:</th>
<th>State Use Only:</th>
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<table>
<thead>
<tr>
<th>3. Applicant Identifier:</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>4a. Federal Entity Identifier:</th>
<th>4b. Federal Award Identifier:</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>5. Date Received By State:</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>6. State Application Identifier:</th>
</tr>
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</table>

## 7. APPLICANT INFORMATION

<table>
<thead>
<tr>
<th>* a. Legal Name:</th>
<th>* b. Employer/Taxpayer Identification Number (EIN/TIN):</th>
<th>* c. Organizational DUNS:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Kentucky</td>
<td>16106004</td>
<td>927049767</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>* d. Address:</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>* Street 1:</th>
<th>Street 2:</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>* City:</th>
<th>County:</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>* State:</th>
<th>Province:</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>* Country:</th>
<th>* Zip / Postal Code:</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>* e. Organizational Unit:</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Department Name:</th>
<th>Division Name:</th>
</tr>
</thead>
</table>

| Department of Community Based Services | Division of Family Support |

<table>
<thead>
<tr>
<th>f. Name and contact information of person to be contacted on matters involving this application:</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Prefix:</th>
<th>* First Name:</th>
<th>Middle Name:</th>
<th>* Last Name:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Vickie</td>
<td></td>
<td>Bowling</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Suffix:</th>
<th>Title:</th>
<th>Organizational Affiliation:</th>
</tr>
</thead>
</table>

|           | Public Assistance Program Specials | CHFS/DCBS |

<table>
<thead>
<tr>
<th>* Telephone Number:</th>
<th>* Fax Number:</th>
<th>* Email:</th>
</tr>
</thead>
</table>

| 5025643440          |              | Vickie.Bowling@ky.gov |

## 8a. TYPE OF APPLICANT:

| A: State Government |

| b. Additional Description: |

## 9. Name of Federal Agency:

<table>
<thead>
<tr>
<th>Catalog of Federal Domestic Assistance Number:</th>
<th>CFDA Title:</th>
</tr>
</thead>
</table>

| 93568 | Low-Income Home Energy Assistance |

## 10. CFDA Numbers and Titles

<table>
<thead>
<tr>
<th>11. Descriptive Title of Applicant’s Project</th>
</tr>
</thead>
</table>

| LIHEAP |

## 12. Areas Affected by Funding:
13. CONGRESSIONAL DISTRICTS OF:

* a. Applicant 6
b. Program/Project: Statewide

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

14. FUNDING PERIOD:

<table>
<thead>
<tr>
<th>a. Start Date:</th>
<th>b. End Date:</th>
</tr>
</thead>
<tbody>
<tr>
<td>10/01/2019</td>
<td>09/30/2020</td>
</tr>
</tbody>
</table>

15. ESTIMATED FUNDING:

<table>
<thead>
<tr>
<th>a. Federal ($)</th>
<th>b. Match ($)</th>
</tr>
</thead>
<tbody>
<tr>
<td>$0</td>
<td>$0</td>
</tr>
</tbody>
</table>

* 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>Vickie Bowling</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>18b. Signature of Authorized Certifying Official</th>
<th>18d. Email Address</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td><a href="mailto:Vickie.Bowling@ky.gov">Vickie.Bowling@ky.gov</a></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>18e. Date Report Submitted (Month, Day, Year)</th>
</tr>
</thead>
<tbody>
<tr>
<td>09/24/2019</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>11/04/2019</td>
<td>12/13/2019</td>
</tr>
<tr>
<td>Cooling assistance</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Crisis assistance</td>
<td>01/06/2020</td>
<td>03/31/2020</td>
</tr>
<tr>
<td>Weatherization assistance</td>
<td>07/01/2019</td>
<td>06/30/2020</td>
</tr>
</tbody>
</table>

Provide further explanation for the dates of operation, if necessary

*Cooling assistance is offered only when the state receives emergency cooling funds or it is determined that weather climate dictates a cooling program is necessary for the health and safety of the citizens of the commonwealth.

**Any LIHEAP funding used for Weatherization not exhausted by June 30th (the end of the fiscal year) is carried forward into the next year's contract with Kentucky Housing Corporation and must be depleted between July 1 through September 30th.

### 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>35.00%</td>
</tr>
<tr>
<td>Cooling assistance</td>
<td>0.00%</td>
</tr>
<tr>
<td>Crisis assistance</td>
<td>41.30%</td>
</tr>
<tr>
<td>Weatherization assistance</td>
<td>13.50%</td>
</tr>
<tr>
<td>Carryover to the following federal fiscal year</td>
<td>0.00%</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>0.10%</td>
</tr>
</tbody>
</table>
Alternate Use of Crisis Assistance Funds, 2605(c)(1)(C)

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

- ☐ Heating assistance
- ☐ Cooling assistance
- ☑ Weatherization assistance

☐ Other (specify): Funds may be used to extend Crisis through April 30th or obligated for heating assistance for the next program year.

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

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

- ☐ Yes
- ☐ No

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

<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>☐ No</td>
</tr>
<tr>
<td>SSI</td>
<td>☐ Yes</td>
<td>☐ No</td>
<td>☐ Yes</td>
<td>☐ No</td>
</tr>
<tr>
<td>SNAP</td>
<td>☐ Yes</td>
<td>☐ No</td>
<td>☐ Yes</td>
<td>☐ No</td>
</tr>
<tr>
<td>Means-tested Veterans Programs</td>
<td>☐ Yes</td>
<td>☐ No</td>
<td>☐ Yes</td>
<td>☐ No</td>
</tr>
<tr>
<td>Other(Specify) 1</td>
<td>☐ Yes</td>
<td>☐ No</td>
<td>☐ Yes</td>
<td>☐ No</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?

Benefit amounts in every LIHEAP component are determined based on each household's income, percentage of poverty, family size, and primary type of heating source. In no component is the determination of benefits based on a household being categorically eligible. Benefit amounts in the weatherization program are determined by the Dwelling Needs Evaluation and based on measures by the National Energy Audit Tool (NEAT) and Manufactured Home Energy Audit (MHEA).

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
<table>
<thead>
<tr>
<th>Item</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Self - Employment Income</td>
<td></td>
</tr>
<tr>
<td>Contract Income</td>
<td></td>
</tr>
<tr>
<td>Payments from mortgage or Sales Contracts</td>
<td></td>
</tr>
<tr>
<td>Unemployment insurance</td>
<td></td>
</tr>
<tr>
<td>Strike Pay</td>
<td></td>
</tr>
<tr>
<td>Social Security Administration (SSA) benefits</td>
<td></td>
</tr>
<tr>
<td>Supplemental Security Income (SSI)</td>
<td></td>
</tr>
<tr>
<td>Retirement / pension benefits</td>
<td></td>
</tr>
<tr>
<td>General Assistance benefits</td>
<td></td>
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<tr>
<td>Temporary Assistance for Needy Families (TANF) benefits</td>
<td></td>
</tr>
<tr>
<td>Supplemental Nutrition Assistance Program (SNAP) benefits</td>
<td></td>
</tr>
<tr>
<td>Women, Infants, and Children Supplemental Nutrition Program (WIC) benefits</td>
<td></td>
</tr>
<tr>
<td>Loans that need to be repaid</td>
<td></td>
</tr>
<tr>
<td>Cash gifts</td>
<td></td>
</tr>
<tr>
<td>Savings account balance</td>
<td></td>
</tr>
<tr>
<td>One-time lump-sum payments, such as rebates/credits, winnings from lotteries, refund deposits, etc.</td>
<td></td>
</tr>
<tr>
<td>Jury duty compensation</td>
<td></td>
</tr>
<tr>
<td>Rental income</td>
<td></td>
</tr>
<tr>
<td>Income from employment through Workforce Investment Act (WIA)</td>
<td></td>
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<tr>
<td>Income from work study programs</td>
<td></td>
</tr>
<tr>
<td>Alimony</td>
<td></td>
</tr>
<tr>
<td>Child support</td>
<td></td>
</tr>
<tr>
<td>Interest, dividends, or royalties</td>
<td></td>
</tr>
<tr>
<td>Commissions</td>
<td></td>
</tr>
<tr>
<td>Legal settlements</td>
<td></td>
</tr>
<tr>
<td>Insurance payments made directly to the insured</td>
<td></td>
</tr>
<tr>
<td>Option</td>
<td>Description</td>
</tr>
<tr>
<td>----------------------------------------------------------------------</td>
<td>-----------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Insurance payments made specifically for the repayment of a bill, debt, or estimate</td>
<td></td>
</tr>
<tr>
<td>Veterans Administration (VA) benefits</td>
<td></td>
</tr>
<tr>
<td>Earned income of a child under the age of 18</td>
<td></td>
</tr>
<tr>
<td>Balance of retirement, pension, or annuity accounts where funds cannot be withdrawn without a penalty.</td>
<td></td>
</tr>
<tr>
<td>Income tax refunds</td>
<td></td>
</tr>
<tr>
<td>Stipends from senior companion programs, such as VISTA</td>
<td></td>
</tr>
<tr>
<td>Funds received by household for the care of a foster child</td>
<td></td>
</tr>
<tr>
<td>Ameri-Corp Program payments for living allowances, earnings, and in-kind aid</td>
<td></td>
</tr>
<tr>
<td>Reimbursements (for mileage, gas, lodging, meals, etc.)</td>
<td></td>
</tr>
<tr>
<td>Other</td>
<td></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 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>1</td>
<td>HBIS Poverty Guidelines</td>
<td>130.00%</td>
</tr>
</tbody>
</table>

2.2 Do you have additional eligibility requirements for Heating Assistance? 
- Yes  
- No  

2.3 Do you require an Assets test? 
- Yes  
- No  

2.4 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  

2.5 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:

Total liquid assets cannot exceed:
1. $2,000
2. $3,000, if at least one person in the household is (a) age 60 or older; or (b) disabled; or
3. $4,000, if a member of the household has an illness which requires liquid resources to be accessed regularly for living and medical expenses.

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.

In the Subsidy Component, the highest of assistance will be provided to households with the lowest incomes relative to federal poverty guidelines and the highest heating season energy costs. Once eligibility is established, payment to a household's fuel provider is made for the full benefit amount.

For each of the seven primary heating fuels (natural gas, electric, fuel oil, propane, kerosene, wood, and coal), an average cost for unit of fuel will be identified prior to the opening of the Subsidy application period. Based on this unit fuel cost information, an average cost will be calculated. Benefits will be structured so the lowest poverty level households receive the highest benefits relative to fuel type. Please see the attached benefit matrix for more information.

Applicants who are 60 and above or have disabilities and who receive a fixed income may pre-register. This pre-registration process, no benefits are issued until Subsidy begins.

2.5 Check the variables you use to determine your benefit levels. (Check all that apply):
An example of an application: HH size of 2; Non-subsidized housing; Heats with electric; income is $1000 month; 71% poverty level; benefit amount is $126.

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

<table>
<thead>
<tr>
<th>Minimum Benefit</th>
<th>$34</th>
</tr>
</thead>
<tbody>
<tr>
<td>Maximum Benefit</td>
<td>$274</td>
</tr>
</tbody>
</table>

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

If yes, describe.

Benefits are provided in the form of utility payments and ongoing related energy assistance programs including WinterCare, Columbia Gas Energy Assistance Program, and Delta Gas Energy Assistance Programs. Clients are referred to Energy Conservation Workshops, including first home buyer classes.

If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.
Section 3 - Cooling Assistance

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

3.1 Designate The income eligibility threshold used for the Cooling component:

<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>130.00%</td>
</tr>
</tbody>
</table>

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

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

Do you require an Assets test?  
☐ Yes  ☐ No

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:

Priority is given to those households with elderly residents, those with disabled members, and with children under the age of 6.

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

An applicant must meet all the regular program requirements regarding income, household size, and gross income to receive a cooling benefit.

Benefits can also be provided in the form of air conditioning units. To be eligible for an air conditioner, the household must meet the eligibility requirements for cooling. The household must not have or have access to an air conditioner and must meet one of the following requirements:

1. Have a member with a health condition or disability that requires cooling to prevent further deterioration as verified by a physician’s statement on letterhead. Example: persons with heart disease, asthma or severe respiratory conditions.
2. Have a member who is 65 years of age or older.
3. Have a member who is under the age of six.

A household may receive both, the benefit amount and an air conditioner, if they meet the eligibility requirements.

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

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

☐ Income
Medical need is a requirement to be eligible for an air conditioner.

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

3.6 Describe estimated benefit levels for FY 2020:

<table>
<thead>
<tr>
<th>Minimum Benefit</th>
<th>Maximum Benefit</th>
</tr>
</thead>
<tbody>
<tr>
<td>$50</td>
<td>$175</td>
</tr>
</tbody>
</table>

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

If yes, describe.

Air conditioners are provided as described in section 3.4.

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>130.00%</td>
</tr>
</tbody>
</table>

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

A household is considered to be in crisis if they meet basic LIHEAP eligibility criteria, and:

1. The household has a past due or disconnect notice, if electric or natural gas is the primary heating source or
2. The household is within four (4) days of running out of fuel if coal, wood, kerosene, fuel oil, or propane is the primary heating source.

4.3 What constitutes a life-threatening crisis?

Life-threatening means, at the time of application, a household is or will be without heat or cooling within 18 hours and temperatures are at a dangerous level as determined by the National Weather 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 equipment?**
- Yes
- No

**Other? See below**
- Yes
- No

**Do you have additional/differing eligibility policies for:**
- Renters?
- Yes
- No

- Renters living in subsidized housing?
- Yes
- No

- Renters with utilities included in the rent?
- Yes
- No

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

* Households must meet the basic eligibility requirements.
* Completed applications will be processed in the order accepted to the extent of available funds.
* Applications shall have no more than five (5) days to complete the application from the date the application is started.
* All households must be responsible for home heating costs directly or as an un designated part of the rent.
* In special circumstances, benefits may be provided if it will prevent the removal of a child from a household, or if it will enable a child to return to a household. Households must meet the same income and assets criteria as for regular LIHEAP.
* Each eligible household, including those living in subsidized housing, except those at 0-74% of poverty, will be required to make a co-payment as a percent of the amount needed to relieve the crisis. Households residing in subsidized housing will be responsible for a higher co-payment due to receiving a utility allowance. The co-payment will be based on the household's percent of poverty.

---

**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:

The maximum amount of benefits that any household may receive throughout the crisis component may not exceed $400 for gas or electric. If program funding is enhanced through a federal or state award, the cabinet may approve a subsequent increase to the benefit amount. For the past several years, the maximum benefit for gas or electric has been maintained at $400. The maximum benefit for bulk fuels are two (2) tons of coal, 2 cords of wood, or 200 gallons of fuel oil or kerosene.

---

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.

Prior to the program opening, locations are determined in each county where applications are taken and sites are listed on outreach materials and media articles.

For those applicants unable to go to a location for the application process, the applicant can designate an authorized representative to apply on their behalf. Other alternate methods consist of the Community Action Agencies conducting home visits, visiting elderly communities to ensure they receive assistance or conducting a telephone interview. If an application is taken via the phone, the client then provides verification and signatures on application forms and returns by mail.

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

See response in 4.10.
4.12 Indicate the maximum benefit for each type of crisis assistance offered.

<table>
<thead>
<tr>
<th>Type of Crisis</th>
<th>Maximum Benefit</th>
</tr>
</thead>
<tbody>
<tr>
<td>Winter Crisis</td>
<td>$400.00</td>
</tr>
<tr>
<td>Summer Crisis</td>
<td>$0.00</td>
</tr>
<tr>
<td>Year-round Crisis</td>
<td>$0.00</td>
</tr>
</tbody>
</table>

4.13 Do you provide in-kind (e.g., blankets, space heaters, fans) and/or other forms of benefits?
- [ ] Yes
- [x] No
  If yes, Describe

4.14 Do you provide for equipment repair or replacement using crisis funds?
- [x] 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>Assistance Provided</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>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
- [x] 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.

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

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

5.1 Designate the income eligibility threshold used for the Weatherization component

<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. Kentucky Housing Corporation

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 Ration (SIR) standards.

☑ Other - Describe:

Weatherization not subject to the DOE WAP average Health and Safety costs limitation per dwelling.

LIHEAP funding may be used to re-weatherize units in which work was performed and billed on or before September 30, 2012.

LIHEAP funding may be used on energy saving measures that SIR is at a .80 or greater in the client completion report.

Increase the number of dwelling units occupied by low-income households receiving weatherization assistance by decreasing the number of deferrals for minor home repairs. Examples include structural, plumbing, electrical and or roofing issues. KHC will set a cap amount for home repairs not to exceed 20% of total total projected weatherization job costs. Structural/roofing issues could be repairs to roof leaks to protect weatherization measures, minor mold remediation, repair of holes in walls and other minor repairs to protect installed weatherization measures.

DOE formula to be applied to LIHEAP WX allocation. This would allow more training opportunities for contractors and crews.

Eligibility, 2605(b)(5) - Assurance 5
5.6 Do you require an assets test? [Circle] Yes [Circle] No

5.7 Do you have additional/differing eligibility policies for:

Renters [Circle] Yes [Circle] No
Renters living in subsidized housing [Circle] Yes [Circle] No

5.8 Do you give priority in eligibility to:

Elderly? [Circle] Yes [Circle] No
Disabled? [Circle] Yes [Circle] No
Young Children? [Circle] Yes [Circle] No
Households with high energy burdens? [Circle] Yes [Circle] No
Other? [Circle] Yes [Circle] No

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

Benefit Levels

5.9 Do you have a maximum LIHEAP weatherization benefit/expenditure per household? [Circle] Yes [Circle] 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
- Energy related roof repair
- Caulking and insulation
- Major appliance Repairs
- Storm windows
- Major appliance replacement
- Furnace/heating system modifications/repairs
- Windows/sliding glass doors
- Furnace replacement
- Doors
- Cooling system modifications/repairs
- Water Heater
- Water conservation measures
- Cooling system replacement
- Compact florescent light bulbs
- Other - Describe:

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:

- [x] Place posters/flyers in local and county social service offices, offices of aging, Social Security offices, VA, etc.
- [x] Publish articles in local newspapers or broadcast media announcements.
- [x] 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.
- [x] Inform low income applicants of the availability of all types of LIHEAP assistance at application intake for other low-income programs.
- Execute interagency agreements with other low-income program offices to perform outreach to target groups.
- [x] Other (specify):

  The Division of Family Support sends a memorandum to each of the local Department of Community Based Services (DCBS) offices notifying field staff of dates, times, and locations of the agencies in order to recipients to apply. This information is posted in the lobby or waiting rooms for each DCBS office.

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

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

- [ ] Joint application for multiple programs
- [x] Intake referrals to/from other programs
- [ ] One-stop intake centers
- [x] Other - Describe:

Community Action Agencies are the service providers for LIHEAP and they administer other energy assistance programs, i.e., the Weatherization Assistance Program, and privately fuel funded energy assistance programs. Each local community action agency will coordinate the various available energy assistance programs and make referrals, when appropriate, to other agencies and programs.

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

8.5 LIHEAP Component Administration.

<table>
<thead>
<tr>
<th>Component</th>
<th>Heating</th>
<th>Cooling</th>
<th>Crisis</th>
<th>Weatherization</th>
</tr>
</thead>
<tbody>
<tr>
<td>Community Action Agencies</td>
<td>Community Action Agencies</td>
<td>Community Action Agencies</td>
<td>Community Action Agencies</td>
<td>Community Action Agencies</td>
</tr>
</tbody>
</table>

8.5a Who determines client eligibility?

- Community Action Agencies

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?

Community action agencies will be the service providers for heating assistance. The agencies provide outreach and intake throughout the state for all components of the program.

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

Community action agencies will be the service provider for cooling assistance should the program be operating with emergency or additional funding.

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

Same as 8.2
8.5b Who processes benefit payments to gas and electric vendors?

Community Action Agencies

8.5c Who processes benefit payments to bulk fuel vendors?

Community Action Agencies

8.5d Who performs installation of weatherization measures?

Community Action Agencies

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

8.6 What is your process for selecting local administering agencies?

The Cabinet for Health and Family Services (CHFS or Cabinet) Department for Community Based Services (DCBS) has been the single state agency responsible for administering the Low Income Home Energy Assistance Program since FY1982, as well as administering other federal and state energy programs in preceding years.

Under contact with CHFS, Community Action Kentucky, Inc. (CAK) subcontracts with twenty-two (22) community action agencies, and one local government to operate locally LIHEAP. CAK has operated the Crisis component since FFY 1986 and the Subsidy component since 1990 and has received federal funds for the administration of energy assistance programs both prior to and after the date of enactment of the Low Income Home Energy Assistance Act. CAK has and will continue to subcontract the local community action agencies to provide assistance in all 120 counties of the state.

8.7 How many local administering agencies do you use? 23

8.8 Have you changed any local administering agencies in the last year?

☐ Yes
☐ No

8.9 If so, why?

☐ Agency was in noncompliance with grantee requirements for LIHEAP -

☐ Agency is under criminal investigation

☐ Added agency

☐ Agency closed

☐ Other - describe

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>Yes</td>
<td>No</td>
</tr>
<tr>
<td>Crisis</td>
<td>Yes</td>
<td>No</td>
</tr>
</tbody>
</table>

If yes, Describe.

Payments will be authorized to the energy provider, including landlords where heating is included as an undesignated portion of the rent, by one party check upon delivery of fuel, restoration or continuation of service, household receipt of blankets, sleeping bags, or emergency lodging. The only exception would be if the landlord or vendor refuses to accept payment or voucher.

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

At the time of application, all households that are determined eligible for assistance receive a written notification advising them of the amount of assistance for which they are eligible and to whom the payment will be made.

### 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?

All vendors are required to sign a vendor agreement. Contingent on signing the agreement, the vendor will be required to comply with the Kentucky Administrative Regulation 921 KAR 4:116, Section 10 and Section 2605(b)(7) of the Low Income Home Energy Assistance Act of 1981 as amended.

### 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?

All vendors are required to sign a vendor agreement. The vendor agrees to comply with the Kentucky Administrative Regulation 921 KAR 4:116. Also, Community Action Agencies are required by contractual agreement to monitor vendors once within a five (5) year period.

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

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
</table>

If so, describe the measures unregulated vendors may take.

For unregulated fuel sources (wood, coal, propane, fuel oil and kerosene) payment will not be made until the fuel has been delivered or provided and the vendor has submitted documentation that the consumer has accepted the fuel.

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

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

Program Monitoring: CAK will monitor the local community action agencies’ LIHEAP program at least once during the program year to assure the appropriate delivery of services and documentation of case actions and billings. Monitoring reports will be completed for each monitoring visit and will include a description of any corrective action to be taken. CAK will follow up on all correction plans and report resolutions to DCBS. A copy of each monitoring report, including corrective actions, if necessary will be forwarded to DCBS for review.

DCBS will review CAK’s monitoring plan to ensure sufficiency of activities. At a minimum, DCBS will receive and review monitoring reports, single audit reports, and corrective action plans. DCBS has engaged the CHFS Office of Inspector General to perform quality reviews of CAK and all Kentucky Community Action Agencies audit reports.

DCBS, Division of Administration and Financial Management (DAFM), Contract Performance Branch, will monitor CAK during the year to assure that the operation of the program is in compliance with all contract requirements and federal statutes.

Kentucky Housing Corporation (KHC) receives an audit of their Weatherization Assistance Program (including LIHEAP funded Weatherization) as part of the Statewide Audit of the Commonwealth, performed by Kentucky’s Auditor of Public Accounts. DCBS reviews the statewide audit for any findings related to the program.

KHC will monitor the local community action agencies’ weatherization program at least once during the program year. The purpose of the monitoring is to assess program compliance with the Kentucky Weatherization Assistance Program (WAP) requirements. Monitoring reports completed for each CAA will include a description of concerns, observations or findings, which will require a corrective action plan. A copy of each monitoring report, including corrective action plans will be provided to DCBS for review. See the attached monitoring tool and checklist utilized by KHC.

The DAFM Contract Performance Section monitors DCBS contractors for compliance with contractual provisions and federal/state laws. The Contract Performance Section prioritizes the annual monitoring of all contractors whose funding total require the contractor to undergo an annual audit performed in accordance with 2 CFR, Part 200 Subpart F. All DCBS contractors receive an on-site monitoring no less than once every three years or are monitored more frequently upon request of DCBS program staff.

Fiscal Monitoring: Methods and procedures are in place for properly charging the costs of administration under the plan and are maintained in accordance with Federal requirements as specified in 45 CFR 205.150 and 45 CFR Part 95 Subpart E, including identifying costs applicable to each of the separate federal programs. Revisions in such methods and procedures are submitted by CHFS on a timely basis for approval by the Department of Health and Human Services.

Procedures for determining reasonableness, allowability and allocability of costs are in accordance with provision P.L 97-35, as amended, 45 CFR Parts 75 and 96 as applicable, 2 CFR Part 200 Subpart E and federal agency implementing agencies as applicable and applicable state laws including KRS 273.410 through 273.468 through 45.359. These requirements are applicable to subcontractors who will be required to report to CAK in a manner that meets CAK’s reporting requirements to the Cabinet.

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.
<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>financial</td>
<td>Southern KY CAA had a finding regarding controls over financial processes to ensure funding was reconciled properly.</td>
<td>In Progress</td>
<td>staffing/management changes</td>
</tr>
<tr>
<td>2</td>
<td>reporting</td>
<td>Pennyrile Allied Community Services. There was a lack of the grant director's approval for items charged to grants.</td>
<td>Yes</td>
<td>procedure/policy changes</td>
</tr>
<tr>
<td>3</td>
<td>reporting</td>
<td>Pennyrile - Indirect costs were not charged in accordance with the Agency's indirect cost plan.</td>
<td>Yes</td>
<td>procedure/policy changes</td>
</tr>
<tr>
<td>4</td>
<td>financial</td>
<td>Pennyrile: Management oversight, including applicable controls, has not been implemented in such a way as to provide sufficient oversight and ensure compliance over sub-recipients' monitoring per OMB Uniform Guidance.</td>
<td>Yes</td>
<td>staffing/management changes</td>
</tr>
<tr>
<td>5</td>
<td>financial</td>
<td>Pennyrile: documentation of verification of low income status could not be located in the file.</td>
<td>Yes</td>
<td>training changes</td>
</tr>
<tr>
<td>6</td>
<td>financial</td>
<td>Pennyrile: the allocation of insurance expense to the grant was not supported</td>
<td>Yes</td>
<td>procedure/policy changes</td>
</tr>
<tr>
<td>7</td>
<td>other</td>
<td>Bell-Whitley CAA has a case file no i created. Case was denied for excess income.</td>
<td>Yes</td>
<td>training changes</td>
</tr>
<tr>
<td>8</td>
<td>financial</td>
<td>Harlan - income was calculated incorrectly resulting in an incorrect benefit amount.</td>
<td>In Progress</td>
<td>procedure/policy changes</td>
</tr>
<tr>
<td>9</td>
<td>financial</td>
<td>Harlan - incorrect benefit amount was given due to one household member not added to the case.</td>
<td>In Progress</td>
<td>procedure/policy changes</td>
</tr>
<tr>
<td>10</td>
<td>financial</td>
<td>Southern - audit not submitted to CA K.</td>
<td>In Progress</td>
<td>procedure/policy changes</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.

- [x] 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)
- [x] Local agencies/district offices’ A-133 or other independent audits are reviewed by Grantee as part of compliance process.
- [x] 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

- [x] Grantee employees:
  - [x] Internal program review
  - [x] Departmental oversight
  - [x] Secondary review of invoices and payments
- [ ] Other program review mechanisms are in place. Describe:
| 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.

CAK monitors the local community action agencies which operate LIHEAP at least once during the program year to assure the appropriate delivery of services and documentation of case actions for each monitoring visit. This will include a description of corrective actions to be taken. By contractual agreement, CAK will follow up on all corrective action plans and report the resolution to DCBS. Please see the attached monitoring tool and schedule.

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

**Site Visits:**

DCBS will physically monitor all twenty-three (23) local sites every three years. The monitoring schedule is developed with CAK to visit 1/3 of the sites each year. Should an agency have findings in their monitoring review, or a change in leadership, an on-site review will be conducted.

**Desk Reviews:**

Desk reviews are completed annually for the remaining 2/3 of agencies not monitored on-site.

10.8. How often is each local agency monitored?

Annually, either on-site or by desk review.

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

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

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

10.12. How many local agencies are currently on corrective action plans for financial accounting or administrative issues? 2

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: A public hearing was on July 9, 2019. There were no comments.

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

No changes will be made to the LIHEAP plan in FFY20.

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>07/09/2019</td>
<td>Public Hearing was held July 9, 2019 by the Legislative Research Commission. Special Subcommittee on Energy, Frankfort KY</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).

Public hearing was held July 9, 2019.

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

No changes will occur for the state plan as a result of the comments received at the public hearing.

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

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?

N/A

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

An opportunity for a hearing is made available in accordance with community action agency appeal procedures as stated in the LIHEAP manual. A hearing will be granted to any individual requesting a hearing because his claim for assistance is denied or not acted upon in a timely manner.

Requests for a hearing must be in writing. The community action agency may assist the claimant in submitting the request. Time allowed for claimants to file for a hearing is thirty (30) days from the date of the notice of the eligibility decision.

If dissatisfied with the community action agency decision, the claimant may further appeal to CAK. If dissatisfied with the decision of CAK, the claimant may appeal through CHFS.

Hearings are conducted at a reasonable time, date and place. Adequate preliminary written notice is given. The hearings are conducted by an impartial official or disignee of the agency who has not been directly involved in the initial determination of the action in question. The claimants, or their representatives, are given adequate opportunity to examine the contents of the case file, all documents, and records to be used at the hearing, to present the case themselves or with the aid of an authorized representative to bring witnesses, to establish all pertinent facts and circumstances to advance arguments without undue interference, and to question or refute testimony or evidence including the opportunity to confront and cross-examine adverse witnesses.

Recommendations or decisions of the hearing officer are based exclusively on evidence and other material introduced at the hearing. The transcript or recording of testimony and exhibits, all papers and requests filed in the proceeding and the recommendation or decision of the hearing office constitute the exclusive record. The record is made available to the claimants or representatives at an accessible place and at a reasonable time.

Decisions by the hearing authority will specify the reasons for the decision and identify the supporting evidence and regulations.

When a hearing decision is appealed any individual involved in making the original decision may not take part in making the decision on the appeal.

Final administrative action will be taken within ninety (90) days from the date of the request for a hearing and the claimant is notified in writing of the action.

When the decision is adverse to the claimant, the notice will inform the claimant of the right to appeal to the appeal board and to judicial review.

When the decision is favorable to the claimant, the agency shall promptly make a payment.

Subject to provision for safeguarding public assistance information, all hearing decisions of the agency are accessible to the public.

Weatherization: The CAAs are responsible to resolving all client complaints, including applicant denials, project deferrals, and work quality issues.

Each agency establishes a clear, objective and prompt dispute resolution process that includes mediation and arbitration should internal procedures fail to remedy a complaint. Clients must be informed at time of application of their right to file a grievance. Agencies will also be responsible for requests for information regarding the dispute resolution process. Clients may withdraw a grievance at any time with the understanding they may re-enter the process at the point they withdrew if a complaint is not resolved.

KHC approves and monitors the agency's dispute process and is available to technical assistance and consultation. KHC will also review co
12.5 When and how are applicants informed of these rights?

All claimants are informed at the time of application and at the time of any action affecting their claim of their right to a hearing, the method of obtaining it, and their right to be represented by others or to represent themselves.

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

Same as section 12.4

12.7 When and how are applicants informed of these rights?

Same as section 12.5

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

Every Community Action Agency is given the opportunity to provide counseling to help reduce the households' energy bills. The agencies that do utilize LIHEAP funds for Assurance 16 will provide energy reduction solutions and education, including but not limited to the completion of and follow up on Weatherization applications. The CAAs will provide services based on the needs in their area, assisting household with their long-term plan to reduce energy usage and energy burden.

The following are examples from agencies that provided services during the past LIHEAP season: (1) Northern KY CAA offers all eligible households the opportunity to apply for weatherization services. This application allows the family to take a more in-depth look at their energy usage and the opportunity to have a professional assessment of their home to ensure the home is energy efficient. Improvements and repairs may be done to the home to improve efficiency. NKCAC is able to work more intimately with the household to assess not only their energy usage, but their financial situation as a whole through Financial Empowerment Education with a certified financial counselor. (2) Lexington Fayette-CAC offered information/material to applicants to help the household be more conscious of actions they can take to reduce energy consumption and save money. Intake workers talk with clients about their home energy costs. Applicants are asked to sign an Energy Counseling form confirming they have discussed and received printed materials regarding energy conservation. Lexington’s database has the capability of flagging all applicants with referrals to energy counseling and identifying the programs that provide those services. (3) Louisville Metro CAA partnered with a utility company and other organizations to connect clients with energy conservation programs, bill management, workshops, and to distribute weatherization materials. Louisville Metro CAA provides energy conservation tip sheets and information regarding reduction of energy costs. Information includes TV and radio announcements, printed energy tips and other information. Louisville Metro refers LIHEAP applicants to other utility assistance programs including Project Warm and LG&E We Care program. These referrals can assist clients to be more educated about ways to reduce energy costs and lessen their energy burden.

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

An assurance is written into the contract with CAK, and the subcontracts between CAK and the community action agencies, that a community action agency may use up to 5% of the crisis allocation to provide services to encourage households to reduce their energy costs.

The cost of developing and providing such services does not count toward the maximum benefit level for any single household. CAK assists all community action agencies interested in providing such services in developing plans for the use of such funds for review and approval by DCBS prior to the provision of services. Final approval of such plans shall be given by DCBS.

The CAAs also budget and monitor expenses to ensure no more than 5% is used for counseling.

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

Through LIHEAP assistance and the education and information provided through budget/energy counseling, it is anticipated that households can learn of energy saving steps that can assist with keeping home energy costs lower and more affordable. Northern Kentucky CAC assisted 9 families choosing to participate in financial counseling. 35 households accessed their credit reports and 24 increased their credit score within the first 60 days of financial counseling.

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

There are several other programs available to LIHEAP applicants for energy assistance, including WinterCare an ongoing assistance program for home energy. NKCAC clients received weatherization benefits as well as participating in First Time Homebuyer Program classes, attending Budget and Counseling classes, and having tax returns filed.
<table>
<thead>
<tr>
<th>Question</th>
<th>Answer</th>
</tr>
</thead>
<tbody>
<tr>
<td>13.5 How many households applied for these services?</td>
<td>n/a</td>
</tr>
<tr>
<td>13.6 How many households received these services?</td>
<td>37,587</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 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.

DCBS will work with the Community Action Agencies explaining all information needed to complete leveraging report. A solicitation packet will be provided to each CAA which includes the Action Transmittal instructions, link to the Federal Statutes and Regulations, and the resource form. The grantee is available to answer any questions if needed.

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>Winter Care Program</td>
<td>This is a utility customer contribution fuel fund program.</td>
<td>Administered by Community Action Council for Lexington-Fayette, Bourbon, Harrison, and Nicholas counties to supplement LIHEAP benefits when LIHEAP benefits are insufficient to meet the needs of the household.</td>
</tr>
<tr>
<td>2</td>
<td>Winterhelp</td>
<td>This is a utility customer contribution program that receives donations from the community and a matching percentage from the local utility company to be distributed to households in the Louisville/Jefferson county area.</td>
<td>One time payments are made to the vendor. Louisville Gas and Electric for customers who are facing a utility crisis and the maximum crisis benefits in LIHEAP are exhausted or LIHEAP is not available.</td>
</tr>
<tr>
<td>3</td>
<td>Columbia Gas Energy Assistance Program</td>
<td>This program provides cash benefits and discounts on heating bills to Columbia Gas low-income customers.</td>
<td>This resource serves households that are eligible for and receive LIHEAP subsidy. An agreement between Columbia Gas of Kentucky and Community Action Council specifies eligibility criteria, benefit levels, period of operation and how LIHEAP resources are integrated.</td>
</tr>
<tr>
<td>4</td>
<td>Delta Gas Energy Assistance Program</td>
<td>Cash benefits for low-income Delta customers which provides a credit to their Delta Gas account for the 5 heating months (Nov - Mar).</td>
<td>Resource serves households that are eligible for and receive LIHEAP subsidy. An agreement between Delta Natural Gas and Community Action Council specifies eligibility criteria, benefit levels, period of operation and how LIHEAP resources are integrated.</td>
</tr>
<tr>
<td>5</td>
<td>Salvation Army, United Way, Schools Ministerial Associations, Churches, and other non-profit organizations.</td>
<td>Private cash donations or in-kind donations.</td>
<td>Funds will be used to supplement LIHEAP or used when LIHEAP funds are expended.</td>
</tr>
<tr>
<td>6</td>
<td>Demand Side Management</td>
<td>Demand Side Management programs are utility sponsored energy efficiency programs to lower the current demand for energy.</td>
<td>Enhances low-income households by providing weatherization services.</td>
</tr>
<tr>
<td>7</td>
<td>Distribution of fans, air conditioners, and payments toward utility bills.</td>
<td>Private cash donations or in-kind donations by community action agencies, utility companies, city and county government and civic organizations.</td>
<td>Funds will be used to supplement LIHEAP or used when LIHEAP funds are expended.</td>
</tr>
<tr>
<td></td>
<td><strong>Project Warm and other similar resources</strong></td>
<td>Provided by local nonprofit organizations and utility companies</td>
<td>Provides weatherization activities and energy audits, window replacements, insulation materials to low income households.</td>
</tr>
<tr>
<td>---</td>
<td>--------------------------------------------</td>
<td>-------------------------------------------------------------</td>
<td>-----------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>9</td>
<td><strong>Affordable Energy Corporation</strong></td>
<td>Provides year found monthly cash benefits to LG&amp;E customers</td>
<td>All clients must participate in energy education, conservation and weatherization services.</td>
</tr>
<tr>
<td>10</td>
<td><strong>Certificate of Need (CFN)</strong></td>
<td>Governed by the Public Service Commission and administered by CAAs to either give a 30 day extension or a reconnect for services for a natural gas and electric household.</td>
<td>Clients must meet the criteria for LIHEAP and agree to apply for the weatherization program, if applicable.</td>
</tr>
<tr>
<td>11</td>
<td><strong>Miscellaneous Leveraging Activities</strong></td>
<td>Waivers of utility application fees, reconnect fees, late payment charges, security deposits, reimbursement for energy efficient appliances, and reduced cost for fuel.</td>
<td>Client must meet the criteria for LIHEAP.</td>
</tr>
<tr>
<td>12</td>
<td><strong>Columbia Gas Warm Wise</strong></td>
<td>Replacement of furnaces with more energy efficient furnaces.</td>
<td>By replacing old furnaces with low energy efficient ratings with more energy efficient furnaces, the consumption of gas for the operation of a furnace will be reduced leading to lower utility costs which should result in less dependence on LIHEAP.</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:
   - Formal training on grantee policies and procedures
     - How often?
     - ✓ Annually
     - □ Biannually
     - □ As needed
     - □ Other - Describe:
     - ✓ Employees are provided with policy manual
     - □ Other - Describe:

b. Local Agencies:
   - Formal training conference
     - How often?
     - ✓ Annually
     - □ Biannually
     - □ As needed
     - □ Other - Describe:
     - ✓ On-site training
     - □ Annually
     - □ Biannually
     - ✓ As needed
     - □ Other - Describe:
     - ✓ Employees are provided with policy manual
     - □ Other - Describe
     - CAK may provide teleconferences as needed.

c. Vendors
   - Formal training conference
     - How often?
     - ✓ Annually
     - □ Biannually
     - □ As needed
     - □ Other - Describe:
<table>
<thead>
<tr>
<th></th>
<th>Policies communicated through vendor agreements</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Policies are outlined in a vendor manual</td>
</tr>
<tr>
<td>✔</td>
<td>Other - Describe: Policies are provided to vendors through vendor agreements.</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.

Community Action Kentucky collects data for performance measures from appropriate fuel vendors to compile the data for the 2020 Performance Measures Report. CAK will request the performance measures data from the appropriate fuel vendors in order to complete the 2020 Performance Measures Report. These reported measures may reveal information that could assist our agencies in potential areas where some of the citizens of the commonwealth may be overlooked. These measures can sharpen our focus on better serving the most vulnerable populations of our 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 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: 
  Posters which include the Office of Inspector General's Fraud Hotline are posted in community action agencies. Also, it is addressed on the client's denial notification.

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 photocopi ed and retained</td>
<td>Required</td>
</tr>
<tr>
<td></td>
<td>Requested</td>
</tr>
<tr>
<td>Social Security Number (Without actual Card)</td>
<td>Required</td>
</tr>
<tr>
<td></td>
<td>Requested</td>
</tr>
</tbody>
</table>
b. Describe any exceptions to the above policies.

Any household member who does not have a SSN must be advised to apply for one at the Social Security Office. Documentation consisting of a signed and dated statement from a SSA representative, a SS-5, or receipt of application for a SSN (SS-5028) will be accepted.

A child under two years of age that has not applied for a SS card will be exempt.

### 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
- [ ] In-person certification by staff (for tribal grantees only)
- [ ] Match SSN/Tribal ID number with tribal database or enrollment records (for tribal grantees only)
- [ ] Other - Describe:

### 17.4 Citizenship/Legal Residency Verification

What are your procedures for ensuring that household members are U.S. citizens or aliens who are qualified to receive LIHEAP benefits? 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
- [ ] Zero-income statements
- [ ] Unemployment Insurance letters
Other - Describe:

- Most recent DCBS award letter for KTAP, State Supplementation, or Kinship Care.
- Pension statement
- Internal Revenue Service records
- Veterans Administration records
- Railroad Retirement records
- Court support records
- Union records
- SSA verification forms
- College financial aid award documents
- Contracts for sale of property
- Statement from absent parent or copy of checks from absent parent for support payments
- Statement from individual providing income to the consumer
- Employer statement or contract
- Records maintained by individual or self-employment income
- Contracts
- Records of income and expenses on farm or rental income

Computer data matches:

- Income information matched against state computer system (e.g., SNAP, TANF)
- Proof of unemployment benefits verified with state Department of Labor
- Social Security income verified with SSA
- Utilize state directory of new hires
- Other - Describe:

17.6. Protection of Privacy and Confidentiality

Describe the financial and operating controls in place to protect client information against improper use or disclosure. Select all that apply.

- Policy in place prohibiting release of information without written consent
- Grantee LIHEAP database includes privacy/confidentiality safeguards
- Employee training on confidentiality for:
  - Grantee employees
  - Local agencies/district offices
- Employees must sign confidentiality agreement
  - Grantee employees
  - Local agencies/district offices
- Physical files are stored in a secure location
- Other - Describe:

  Per contractual agreement CAK and the CAA's are required to maintain confidential information acquired from the applicants or provided by the CAI consistent with the requirements of KRS 194A.060. Confidentiality of Records and Reports, KRS 205.175. Confidential treatment of information and records, and KRS 205.177 information may be shared by state and local government agencies.

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:

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

- Applicants required to submit proof of physical residency
- Applicants must submit current utility bill
- Data exchange with utilities that verifies:
  - Account ownership
  - Consumption
  - Balances
  - Payment history
  - Account is properly credited with benefit
- Other - Describe:
  - Centralized computer system/database tracks payments to all utilities
  - Centralized computer system automatically generates benefit level
  - Separation of duties between intake and payment approval
  - Payments coordinated among other energy assistance programs to avoid duplication of payments
  - Payments to utilities and invoices from utilities are reviewed for accuracy
  - Computer databases are periodically reviewed to verify accuracy and timeliness of payments made to utilities
  - Direct payment to households are made in limited cases only
  - Procedures are in place to require prompt refunds from utilities in cases of account closure
  - Vendor agreements specify requirements selected above, and provide enforcement mechanism
- Other - Describe:
  - During crisis CAK is required to provide the cabinet with a bulk fuel pricing report that compares fuel prices from local vendors with the US Energy Information Administration.
  - CAAs are responsible for obtaining pricing from vendors in writing prior to the state of LIHEAP and any subsequent changes in fuel pricing should also be done in writing during LIHEAP season.

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
- Other - Describe:

17.10. Investigations and Prosecutions
Describe the Grantee’s procedures for investigating and prosecuting reports of fraud, and any sanctions placed on clients/staff/vendors found to have committed fraud. Select all that apply.
<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>✓</td>
<td>Refer to state Inspector General</td>
</tr>
<tr>
<td></td>
<td>Refer to local prosecutor or state Attorney General</td>
</tr>
<tr>
<td></td>
<td>Refer to US DHHS Inspector General (including referral to OIG hotline)</td>
</tr>
<tr>
<td></td>
<td>Local agencies/district offices or Grantee conduct investigation of fraud complaints from public</td>
</tr>
<tr>
<td></td>
<td>Grantee attempts collection of improper payments. If so, describe the recoupment process</td>
</tr>
<tr>
<td></td>
<td>Clients found to have committed fraud are banned from LIHEAP assistance. For how long is a household banned?</td>
</tr>
<tr>
<td></td>
<td>Contracts with local agencies require that employees found to have committed fraud are reprimanded and/or terminated</td>
</tr>
<tr>
<td>✓</td>
<td>Vendors found to have committed fraud may no longer participate in LIHEAP</td>
</tr>
<tr>
<td></td>
<td>Other - Describe:</td>
</tr>
<tr>
<td></td>
<td>CAK and local CAAs are required to document instances of fraud and abuse that occur during the program. Agencies are required to 1. complete the fraud and abuse report on each suspected case of fraud and abuse 2. submit a copy of the initial report to CAK at the time the fraud is initially suspected, and the local investigation of the case has begun 4. file a copy of each fraud and abuse report in the consumer's folder and 5 submit the report to the cabinet for further investigation if needed.</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 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...
fication, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.

9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

Certification Regarding Debarment, Suspension, and Other Responsibility Matters--Primary Covered Transactions

(1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any Federal department or agency;

(b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

(2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.
Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transactions

Instructions for Certification

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.

2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or had become erroneous by reason of changed circumstances.

4. The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meaning set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.

5. The prospective lower tier participant agrees by submitting this proposal that, 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 identifi...
tified the workplaces in question (see paragraph five).

8. Definitions of terms in the Nonprocurement Suspension and Debarment comm
on rule and Drug-Free Workplace common rule apply to this certification. Grante
es’ 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 regulatio
n (21 CFR 1308.11 through 1308.15);

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

*Criminal drug statute* means a Federal or non-Federal criminal statute involving t
he manufacture, distribution, dispensing, use, or possession of any controlled s
ubstance;

*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 c
harge employees unless their impact or involvement is insignificant to the perfor
mance of the grant; and, (iii) Temporary personnel and consultants who are direc
tly 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 gr
antee (e.g., volunteers, even if used to meet a matching requirement; consultants or independent contractors not on the grantee’s payroll; or employees of subreci
pients 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, distr
ibution, dispensing, possession, or use of a controlled substance is prohibited in t
he grantee's workplace and specifying the actions that will be taken against employ
ees for violation of such prohibition;
(b) Establishing an ongoing drug-free awareness program to inform employees abo
ut --
   (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 program
   s; and
   (4) The penalties that may be imposed upon employees for drug abuse violations o
   ccurring 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 con-
dition 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 crimina-
l 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)

<table>
<thead>
<tr>
<th>Address Line 1</th>
<th>275 E Main Street 3 E-I</th>
</tr>
</thead>
<tbody>
<tr>
<td>Address Line 2</td>
<td></td>
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<tr>
<td>Address Line 3</td>
<td></td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>* City</th>
<th>Frankfort</th>
</tr>
</thead>
<tbody>
<tr>
<td>* State</td>
<td>KY</td>
</tr>
<tr>
<td>* Zip Code</td>
<td>40601</td>
</tr>
</tbody>
</table>

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.
Section 20: Certification Regarding Lobbying

The submitter of this application certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance

The undersigned states, to the best of his or her knowledge and belief, that:

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction.
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 ce-
rtification 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;

(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 administra
der under the Economic Opportunity Act of 1964 before the date of the enactment of this Act;

(4) coordinate its activities under this title with similar and related programs admi
nistered by the Federal Government and such State, particularly low-income ene
ergy-related programs under subtitle B of 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 furnish
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 beha
lf;

(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

<table>
<thead>
<tr>
<th>PLAN ATTACHMENTS</th>
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</thead>
<tbody>
<tr>
<td>The following documents must be attached to this application</td>
</tr>
<tr>
<td>• Delegation Letter is required if someone other than the Governor or Chairman Certified this Report.</td>
</tr>
<tr>
<td>• Heating component benefit matrix, if applicable</td>
</tr>
<tr>
<td>• Cooling component benefit matrix, if applicable</td>
</tr>
<tr>
<td>• Minutes, notes, or transcripts of public hearing(s).</td>
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</table>