DETAILED MODEL PLAN (LIHEAP)

Program Name: Low Income Home Energy Assistance
Grantee Name: SD Oglala Sioux(Pine Ridge)
Report Name: DETAILED MODEL PLAN (LIHEAP) Revision # 2
Report Period: 10/01/2019 to 09/30/2020
Report Status: Submitted (Revision #2)

Report Sections

1. Mandatory Grant Application SF-424
2. Section 1 - Program Components
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4. Section 3 - COOLING ASSISTANCE
5. Section 4 - CRISIS ASSISTANCE
6. Section 5 - WEATHERIZATION ASSISTANCE
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20. Section 19: Certification Regarding Drug-Free Workplace Requirements
21. Section 20: Certification Regarding Lobbying
22. Assurances
23. Plan Attachments
**LOW INCOME HOME ENERGY ASSISTANCE PROGRAM (LIHEAP)**
**MODEL PLAN**
**SF - 424 - MANDATORY**

1. Type of Submission: **Plan**
   - Frequency: **Annual**
   - Consolidated Application/Plan/Funding Request: 
     - Version: **Initial**
     - Explanation: 

2. Date Received:

3. Applicant Identifier:
   - State Use Only:

4. **Federal Entity Identifier:**
   - **Federal Award Identifier:**
   - **State Application Identifier:**

5. Date Received By State:

6. **Applicant Information**
   - **Legal Name:** Oglala Sioux Tribe
   - **Employer/Taxpayer Identification Number (EIN/TIN):** 460217222
   - **Organizational DUNS:** 171068427
   - **Address:**
     - **Street 1:** P.O. BOX 2070
     - **Street 2:** 820 S G Street
     - **City:** PINE RIDGE
     - **County:** Oglala Lakota
     - **State:** SD
     - **Country:** United States
     - **Zip / Postal Code:** 57770
   - **Organizational Unit:**
     - **Department Name:** Health and Human Services
     - **Division Name:** Energy
   - **Name and contact information of person to be contacted on matters involving this application:**
     - **Prefix:** Ms
     - **First Name:** Susan
     - **Middle Name:** M
     - **Last Name:** Schrader
     - **Title:** Program Director
     - **Organizational Affiliation:** Oglala Sioux Tribe
     - **Telephone Number:** 6058675169
     - **Fax Number:** 6058671550
     - **Email:** s.schrader@oglala.org

7. **Type of Applicant:**
   - I: Indian/Native American Tribal Government (Federally Recognized)

8. **Name of Federal Agency:**
   - **Catalog of Federal Domestic Assistance Number:** 93568
   - **CFDA Title:** Low-Income Home Energy Assistance

9. **Descriptive Title of Applicant's Project:**
   - Low-income Home Energy Assistance

10. **Areas Affected by Funding:**
    - Pine Ridge Indian Reservation
13. CONGRESSIONAL DISTRICTS OF:

* a. Applicant

* b. Program/Project:

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

14. FUNDING PERIOD:

a. Start Date: 10/01/2019

b. End Date: 09/30/2020

15. ESTIMATED FUNDING:

* a. Federal ($): $0

* b. Match ($): $0

16. IS SUBMISSION SUBJECT TO REVIEW BY STATE UNDER EXECUTIVE ORDER 12372 PROCESS?

a. This submission was made available to the State under the Executive Order 12372

b. Program is subject to E.O. 12372 but has not been selected by State for review.

c. Program is not covered by E.O. 12372.

17. Is The Applicant Delinquent On Any Federal Debt?

☐ YES

☐ NO

Explanation:

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

**I Agree

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

18a. Typed or Printed Name and Title of Authorized Certifying Official

Susan M. Schrader

18c. Telephone (area code, number and extension)

18d. Email Address

18b. Signature of Authorized Certifying Official

18e. Date Report Submitted (Month, Day, Year)

11/14/2019

Attach supporting documents as specified in agency instructions.
Section 1 - Program Components

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

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

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

Department of Health and Human Services
Administration for Children and Families
Office of Community Services
Washington, DC 20201

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

THE PAPERWORK REDUCTION ACT OF 1995 (Pub. L. 104-13) Use of this model plan is optional. However, the information requested is required in order to receive a Low Income Home Energy Assistance Program (LIHEAP) grant in years in which the grantee is not permitted to file an abbreviated plan. Public reporting burden for this collection of information is estimated to average 1 hour per response, including the time for reviewing instructions, gathering and maintaining the data needed, and reviewing the collection of information. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.

Section 1 Program Components

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

1.1 Check which components you will operate under the LIHEAP program.
(Note: You must provide information for each component designated here as requested elsewhere in this plan.)

<table>
<thead>
<tr>
<th>Component</th>
<th>Start Date</th>
<th>End Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Heating assistance</td>
<td>10/01/2019</td>
<td>05/31/2021</td>
</tr>
<tr>
<td>Cooling assistance</td>
<td>06/01/2020</td>
<td>09/30/2020</td>
</tr>
<tr>
<td>Crisis assistance</td>
<td>10/01/2019</td>
<td>09/30/2020</td>
</tr>
<tr>
<td>Weatherization assistance</td>
<td>10/01/2019</td>
<td>09/30/2020</td>
</tr>
</tbody>
</table>

Provide further explanation for the dates of operation, if necessary

Heating and cooling seasons often overlap. We can have snow in May and 100 degrees in September or we can have 80 in May and snow in September. The identified heating and cooling seasons accommodate the volatile South Dakota weather.

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>43.00%</td>
</tr>
<tr>
<td>Cooling assistance</td>
<td>15.00%</td>
</tr>
<tr>
<td>Crisis assistance</td>
<td>24.00%</td>
</tr>
<tr>
<td>Weatherization assistance</td>
<td>6.00%</td>
</tr>
<tr>
<td>Carryover to the following federal fiscal year</td>
<td>0.00%</td>
</tr>
</tbody>
</table>
Administrative and planning costs 10.00%
Services to reduce home energy needs including needs assessment (Assurance 16) 2.00%
Used to develop and implement leveraging activities 0.00%
TOTAL 100.00%

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

1.3 The funds reserved for winter crisis assistance that have not been expended by March 15 will be reprogrammed to:
- ✔ Heating assistance
- ✔ Cooling assistance
- ✔ Weatherization assistance
- ✔ Other (specify:) crisis and life threatening crisis

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>TANF</th>
<th>Heating</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>SSI</td>
<td>Cooling</td>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td>SNAP</td>
<td>Crisis</td>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td>Means-tested Veterans Programs</td>
<td>Weatherization</td>
<td>Yes</td>
<td>No</td>
</tr>
</tbody>
</table>

Program Name

Other(Specify) 1

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?

All income documentation is verified by staff. Priority is afforded to those in the 30% range of the state median income.

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

If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.
Section 2 - Heating Assistance

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

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

<table>
<thead>
<tr>
<th>Add</th>
<th>Household size</th>
<th>Eligibility Guideline</th>
<th>Eligibility Threshold</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>All Household Sizes</td>
<td>HHS Poverty Guidelines</td>
<td>60.00%</td>
</tr>
</tbody>
</table>

2.2 Do you have additional eligibility requirements for HEATING ASSISTANCE?  
☐ Yes ☐ No

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

Do you require an Assets test?  
☐ Yes ☐ No

Do you have additional/differing eligibility policies for:

- Renters?  
☐ Yes ☐ No

- Renters Living in subsidized housing?  
☐ Yes ☐ No

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

Do you give priority in eligibility to:

- Elderly?  
☐ Yes ☐ No

- Disabled?  
☐ Yes ☐ No

- Young children?  
☐ Yes ☐ No

- Households with high energy burdens?  
☐ Yes ☐ No

- Other? Veterans  
☐ Yes ☐ No

Explanations of policies for each “yes” checked above:

According to the attached policies and procedures and benefit matrix, those families with incomes below the 30% mark of the State Median Income (SMI) are given a larger amount of assistance. The assistance amount for the cooling program reflects this as well. Those families under the 60% of SMI are assisted but at a lesser amount. When families are in crisis or life threatening crisis situations, priority is given to those households with elderly, disabled, young children, veterans and high energy burdens.

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.

Implementation of the benefit matrix consists of assessing household size and income. After verification of household membership and income, an amount is awarded for supplemental energy assistance to the eligible household. The base amount for those families in the 30 and 60 percent range of the SMI, receive an additional benefit amount of 20 and 10 ten dollars per household member in excess of 4. This allows additional heating assistance for the largest households and those with the least income.

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

- Income
- Family (household) size
- Home energy cost or need:
  - Fuel type
  - Climate/region
2.6 Describe estimated benefit levels for FY 2020:

<table>
<thead>
<tr>
<th>Minimum Benefit</th>
<th>$200</th>
</tr>
</thead>
<tbody>
<tr>
<td>Maximum Benefit</td>
<td>$500</td>
</tr>
</tbody>
</table>

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

- Yes  
- No  

If yes, describe:

Space heaters for heating are distributed to each of the nine districts of the Pine Ridge Indian Reservation. The district service centers know their constituents and distribute heaters to the elders, households with children under five, veterans, those with high energy burdens and those with disabilities. Lists are shared between the LIHEAP program administration and district service centers so that households do not receive the heaters annually but bi-annually as to not duplicate services.

Fans and air conditioners for cooling are also distributed via the nine district service centers with the same priorities and distribution time frames. Air conditioner eligibility however, is every two years due to the cost of the unit.

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>State Median Income</td>
<td>60.00%</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? Fatal Medical Conditions
    - Yes  
    - No

Explanations of policies for each “yes” checked above:

Priority for cooling is according to policy, practicality, priorities (elderly, disabled, young children, households with high energy burdens, and fatal medical conditions), family need, available funding and program administration. Especially in the cooling season priority is given to those under the 30% percentile of the SMI.

Eligible program participants are required to report their current income information which is compared to the income reported at certification time, a practice avoiding waste, theft, and fraud.

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

Eligible households who received heating assistance are considered for cooling. Applications are taken through June 30th to allow those who did not receive heating to apply for cooling. Applications are verified for household composition and income within the matrix as they are in the heating certification process.

Priority for the elderly, disabled, young children, high energy burdened households and those tribal members that are fatally ill are of utmost importance in summer program administration since the extreme heat and need for electricity for oxygen, nebulizers, etc. are considered.

Benefits for cooling are a base of $200 which is a usual amount for a monthly bill.

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

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

- Income
- Family (household) size
Benefit Levels, 2605(b)(5) - Assurance 5, 2605(c)(1)(B)

3.6 Describe estimated benefit levels for FY 2020:

| Minimum Benefit | $200 | Maximum Benefit | $300 |

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

If yes, describe.

We provide Air Conditioners and fans with distribution and coordination with the nine tribal district service centers. The service center staff know their communities and assist the program in assuring that the priorities of the program and the needs of the most indigent in the communities are met simultaneously.

If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.
Section 4 - CRISIS ASSISTANCE

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

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

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>State Median Income</td>
<td>60.00%</td>
</tr>
</tbody>
</table>

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

If the eligible household electricity is near shut off and/or the household has a shut off notice, near out of wood or near empty propane tank

4.3 What constitutes a life-threatening crisis?

Any households that are without electricity, wood or propane especially those that are elderly, disabled, children under 6, have a high energy burden and have members with fatal and life threatening medical conditions.

Crisis Requirement, 2604(c)

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

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

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? Medical problems [ ] 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
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:

Section 3 - Intake Process of the Oglala Lakota Nation LIHEAP Policy Manual identifies the outreach and coordination conducted by the program with the nine district service centers of the Oglala Sioux Tribe on the Pine Ridge Indian Reservation. The intake process includes program staff and service center personnel visiting the home bound members of our tribe for LIHEAP intake and eligibility assessment.

Section 4 - Determination of Eligibility mandates that crisis be immediately assessed with income verification if just initially applying, verification of the crisis with the company and processing of Guarantee to Pay for the tribal member's household to resume heating or cooling of their home. "The LIHEP program follows the Tribal Financial Management system process for checks to vendors that can be timely, so the guarantee to Pay is accepted by our vendors and it assures immediate services to the client."

It is the protocol of the OST LIHEAP program that crisis situations are handled in 24 to 72 hours depending on the severity of the situation and the weather conditions. It is also protocol that the 30% and under the SMI are prioritized for assistance as well as the priorities for assisting elders, disabled, households with children under six, households with a high energy burden and households with severe, often life-threatening medical problems.

Please note that the LIHEAP staff will develop the policies and procedures during the course of the 2020 contract year. In fact efforts have begun with the technical assistant, Mr. Patrick Strickland who provided TA in early September of this year. We are waiting for his recommendations for policy and will begin our policy development.

### Determination of Benefits

#### 4.8 How do you handle crisis situations?

- [ ] Separate component
- [x] Fast Track
- [x] Other - Describe:

Please refer to Section 4 - Determination of Eligibility of the Oglala Lakota Nation LIHEAP Policy Manual attached to this model plan. Paragraph 3 outlines how a shut-off notice or reconnection is processed from the LIHEAP office with verification from the vendor and payment via the Oglala Sioux Tribe's Financial Management System.

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

- [ ] Amount to resolve the crisis.
- [x] Other - Describe:

We assist to $300 in a crisis situation. We often network with any and all available resources (tribe (council & executive board), district, church, non-profit, housing) for resolution of the crisis. Verification of the crisis situation is required, light bill, pictures or visit to the near empty or empty tank. Lack of wood in extreme weather is a critical situation for the household and we rely on our vendors for a quick response. The relationship with our vendors allow immediate resolution to the crisis situations.

#### 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?

- [x] Yes ☐ No Explain.

Households can bring in applications to their district service centers. These district service centers are in nine areas of our 10 square mile reservation. District service center staff bring the completed applications in to the office on a weekly basis.

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

- Submit applications for crisis benefits without leaving their homes?
  - [x] Yes ☐ No If No, explain.
- Travel to the sites at which applications for crisis assistance are accepted?
  - [x] Yes ☐ No If No, explain.

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

If the crisis is for certified tribal member households, we do over the phone intakes for those who cannot make it into the office.
District service center staff go to those home bound or incapable of coming to the office.

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

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

<table>
<thead>
<tr>
<th></th>
<th>Winter Crisis</th>
<th>Summer Crisis</th>
<th>Year-round Crisis</th>
</tr>
</thead>
<tbody>
<tr>
<td>Benefit Levels</td>
<td>$300.00</td>
<td>$200.00</td>
<td>$300.00</td>
</tr>
</tbody>
</table>

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

- Yes
- No

If yes, Describe

We provide space heaters to LIHEAP eligible applicants per district. We provide weatherization supplies, i.e. plastic, siding, weather stripping, a minimal amount of wood stoves, and caulking. We also coordinate with the Oglala Sioux Tribe's Home Improvement plan, Bureau of Indian Affairs program, for minor home repair, furnace repair and other minor repairs that ensure the heating, cooling and safety of our eligible households' structures.

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

- Yes
- No

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

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

<table>
<thead>
<tr>
<th></th>
<th>Winter Crisis</th>
<th>Summer Crisis</th>
<th>Year-round Crisis</th>
</tr>
</thead>
<tbody>
<tr>
<td>Heating system repair</td>
<td>✔️</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Heating system replacement</td>
<td>✔️</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Cooling system repair</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Cooling system replacement</td>
<td></td>
<td></td>
<td>✔️</td>
</tr>
<tr>
<td>Wood stove purchase</td>
<td>✔️</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Pellet stove purchase</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>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>

Minor home repair to assure heating, cooling and safety of the households served.

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

- Yes
- No

If you responded "Yes" to question 4.16, you must respond to question 4.17.

4.17 Describe the terms of the moratorium and any special dispensation received by LIHEAP clients during or after the moratorium period.

One electrical company will allow three months billing before shut off in the winter. This moratorium works well for households that are responsible with their finances but some households go into a very expensive crisis situation.

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>State Median Income</td>
<td>60.00%</td>
</tr>
</tbody>
</table>

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

5.3 If yes, name the agency.

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

WEATHERIZATION - Types of Rules

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

☐ Entirely under LIHEAP (not DOE) rules
☐ Entirely under DOE WAP (not LIHEAP) rules
☐ Mostly under LIHEAP rules with the following DOE WAP rule(s) where LIHEAP and WAP rules differ (Check all that apply):
  ☐ Income Threshold
  ☐ Weatherization of entire multi-family housing structure is permitted if at least 66% of units (50% in 2- & 4-unit buildings) are eligible units or will become eligible within 180 days
  ☐ Weatherize shelters temporarily housing primarily low income persons (excluding nursing homes, prisons, and similar institutional care facilities).
  ☐ Other - Describe:
    We assist as many homes as possible with weatherization needs. Households that are in the Oglala Sioux Lakota Housing Low-Income homes receive weatherization assistance from the housing authority via HUD funding.

☐ 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:
    The Oglala Lakota Nation LIHEAP program provides its own quality control, training, inspection, installation protocols to ensure program integrity and work quality via the Oglala Sioux Tribe's Financial Accounting Office programs which includes Property and Supply Services. Home repair and weatherization is also coordinated with the Oglala Sioux Tribe's Home Improvement Program and the program director's expertise and experience provide a valuable asset to the program's weatherization component. Collaborations with the Vice-president's office and various non-profit and church organizations enhances and extends our weatherization services provided to our Oglala Lakota (Sioux) certified families.

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

5.6 Do you require an assets test? ☐ Yes ☒ No

5.7 Do you have additional/differing eligibility policies for:
Renters

Renters living in subsidized housing?

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

5.8 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? Veterans & Severe Health Problems
  - Yes
  - No

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

Households in rental units that include utilities and maintenance are not eligible for weatherization services since their rental payments accommodate their weatherization and home repair needs. Those families in low-rent, HUD units receive maintenance and service under the Oglala Sioux Lakota Housing Authority and are not eligible for weatherization services.

Priority is given to our elders, disabled, young children, households with high energy burdens, veterans and those with severe health problems are given priority in weatherization services as per our program policy, the tribal financial policy, tribal custom and office practices.

Benefit Levels

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

| Yes | No |

5.10 If yes, what is the maximum?

$0

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

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

- ✔ Weatherization needs assessments/audits
- ✔ 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: wood stove, plastic, weather stripping, siding

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

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

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

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

<table>
<thead>
<tr>
<th>Option</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>☐ Joint application for multiple programs</td>
<td></td>
</tr>
<tr>
<td>☑ Intake referrals to/from other programs</td>
<td></td>
</tr>
<tr>
<td>☐ One - stop intake centers</td>
<td></td>
</tr>
<tr>
<td>☑ Other - Describe:</td>
<td></td>
</tr>
</tbody>
</table>

Meetings with other energy providing programs, attendance at tribal and community meetings. Collaboration with other programs to meet the needs of "families in crisis," i.e. working with FEMA, OST Home Improvement, the OST Vice President's Office, Tipi Raisers (non-profit) to coordinate repair of an elder's home damaged by the cyclone bomb snow storm in March of 2019.

If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.
Section 8: Agency Designation, 2605(b)(6) - Assurance 6 (Required for state grantees and the Commonwealth of Puerto Rico)

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

- Administration Agency
- Commerce Agency
- Community Services Agency
- Energy / Environment Agency
- Housing Agency
- Welfare Agency
- Other - Describe: For states only

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

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

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

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

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

8.5 LIHEAP Component Administration.

<table>
<thead>
<tr>
<th>Heating</th>
<th>Cooling</th>
<th>Crisis</th>
<th>Weatherization</th>
</tr>
</thead>
<tbody>
<tr>
<td>8.5a Who determines client eligibility?</td>
<td>Tribal Government</td>
<td>Tribal Government</td>
<td>Tribal Government</td>
</tr>
<tr>
<td>8.5b Who processes benefit payments to gas and electric vendors?</td>
<td>Tribal Government</td>
<td>Tribal Government</td>
<td>Tribal Government</td>
</tr>
<tr>
<td>8.5c Who processes benefit payments to bulk fuel vendors?</td>
<td>Tribal Government</td>
<td>Tribal Government</td>
<td>Tribal Government</td>
</tr>
<tr>
<td>8.5d Who performs installation of weatherization measures?</td>
<td>Non-Applicable</td>
<td>Non-Applicable</td>
<td>Non-Applicable</td>
</tr>
</tbody>
</table>
If any of your LIHEAP components are not centrally-administered by a state agency, you must complete questions 8.6, 8.7, 8.8, and, if applicable, 8.9.

<table>
<thead>
<tr>
<th>Question</th>
<th>Answer</th>
</tr>
</thead>
<tbody>
<tr>
<td>8.6 What is your process for selecting local administering agencies?</td>
<td>n/a we are a tribal grantee not a state grantee</td>
</tr>
<tr>
<td>8.7 How many local administering agencies do you use?</td>
<td>1</td>
</tr>
<tr>
<td>8.8 Have you changed any local administering agencies in the last year?</td>
<td>Yes</td>
</tr>
<tr>
<td>8.9 If so, why?</td>
<td>Agency was in noncompliance with grantee requirements for LIHEAP -</td>
</tr>
<tr>
<td></td>
<td>Agency is under criminal investigation</td>
</tr>
<tr>
<td></td>
<td>Added agency</td>
</tr>
<tr>
<td></td>
<td>Agency closed</td>
</tr>
<tr>
<td></td>
<td>Other - describe</td>
</tr>
</tbody>
</table>

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

9.1 Do you make payments directly to home energy suppliers?

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

If yes, Describe.

None of approved payments go to the client. All payments are forwarded to energy suppliers.

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

After the application intake process, verification of household members and income, placing the family on the matrix according to the set benefit amount, a client is given a Certification Form stating how much benefits the client is receiving. If intake is done from one of the nine district service centers, service center personnel bring the completed application to the LIHEAP office and the staff initiates and completes the certification process. The clients are Certified and notified immediately by LIHEAP staff. If the applicant chooses to leave the application prior to certification, a form is then mailed for proof of assistance awarded. They will also receive a telephone call. The client may call back to verify their certification. During the intake process, the applicant is given a certification form noting the certified amount of their benefit. When the applicant is certified, they are notified to keep for their record. Certification are valid during the current season only.

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?

Payments are processed via the Oglala Sioux Tribal Financial Accounting Policies and Procedures. No payment is made without a billing from the energy provider or without prior approval and/or verification from the OST LIHEAP personnel. The tribal financial procedures provides checks and balances as the federal government mandates and our tribal system is federally certified.

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?

Although there are no formal vendor agreements with the electrical and propane providers, the financial policies of the Oglala Sioux Tribe protect our tribal members against abuse by vendors. Our tribal policies assure submission of invoices or acquisition of services are not discriminatory or violate or abuse the tribal member who receives the federal assistance. The tribe is a valued and large account customer to the energy vendors and are cooperative and compliant with tribal and federal rules and regulations. The OST LIHEAP staff has open communication, meetings, etc. with energy providers often on a daily basis. The LIHEAP program therefore is the buffer to protect the LIHEAP recipient/consumer.

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

|       | Yes | No |

If so, describe the measures unregulated vendors may take.

The primary electrical providers provide pro-rated, averaged electrical, direct deposit services to some certified tribal members. Few tribal members participate in this option.

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?

We utilize cash account ledgers to give accurate amount of funds expended and remaining funds available. We work closely with our Oglala Sioux Tribal program accountant, lead accountant and comptroller to track spending of LIHEAP funds.

Audit Process

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

☐ Yes  ☐ No

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

No Findings

<table>
<thead>
<tr>
<th>Finding</th>
<th>Type</th>
<th>Brief Summary</th>
<th>Resolved?</th>
<th>Action Taken</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>financial</td>
<td>FY 2009-2010 had instances of money spent or taken that were not in compliance with program guidelines and resulted in criminal charges. Staff were released from positions.</td>
<td>Yes</td>
<td>staffing/management 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.

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

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

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

☐ Grantee conducts fiscal and program monitoring of local agencies/district offices

Compliance Monitoring

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

Grantee employees:

☐ Internal program review

☐ Departmental oversight

☐ Secondary review of invoices and payments

☐ Other program review mechanisms are in place. Describe:
### Local Administering Agencies / District Offices:

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

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

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

- **Site Visits:**
- **Desk Reviews:**

#### 10.8 How often is each local agency monitored?

#### 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?

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

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:

  We have developed a survey questionnaire to help gather information on suggestions for improvement of the LIHEAP program.

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

  No changes were made as suggestions were significant.

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

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

<table>
<thead>
<tr>
<th>Date</th>
<th>Event Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>08/13/2019</td>
<td>Public Hearing</td>
</tr>
</tbody>
</table>

11.4 How many parties commented on your plan at the hearing(s)? 105

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

  Community members were thankful for the financial support.

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

  Will make changes to the application, policies and procedures as a result of surveys.

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?

As a new administrator, policy and procedure found is deemed underdeveloped. A policy and procedure development strategy will be implemented in FY 2020 according to public and tribal directive input indications. One of the most lacking areas in the policy and procedures are those for fair hearings and program grievances. A section for an updated eligibility matrix will also be developed. Upon initial hiring I read a policy manual that had a detailed process. I have searched OLDC and files available in the office and not found this more developed policy and procedure.

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

Current program protocol and practice entails notification of the family who is denied services or dissatisfied with benefit amounts that they have a right to a fair hearing and this hearing will be scheduled within 72 hours if requested. The program director and staff will listen to the grievant and take testimony and evidence on behalf of their grievance. A written response to their appeal will be given in writing to the grievant within three days. If the tribal member is not satisfied with the decision they may take the matter to the Office of the Chief of staff for consideration. The determination made by the Chief of staff will then be submitted to program personnel for action (if any). The grievant may also go the Oglala Sioux Tribal Council Standing Committee and in our case the Health and Human Service Committee for resolution. This process is similar to the process found in the Oglala Sioux Tribal Personnel Policies and Procedure and allows a grievant to follow a chain of command. A hearing was offered to two tribal members this spring; both did not request a fair hearing.

In practicality, a tribal member who was denied services due to lack of funds ineligibility will go straight to the program director's supervisor or oversight committee after which the program director will explain to the oversight committee and her supervisor the situation with the tribal member and the reasoning for the decision or situation.

Policy and procedure development is vital and necessary for the Oglala Lakota Nation/OST LIHEAP program. This process has begun with the consultant, Mr. Patrick Strickland, and this grantee is awaiting his documentation/report to proceed with policy development.

12.5 When and how are applicants informed of these rights?

Office staff will notify any denied applicant verbally of their right to a fair hearing and that it can be scheduled if requested within 72 hours of the action found adverse to them. A denial letter is being developed which will contain a clause in regard to a fair hearing.

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

Our open door policy allows any tribal applicant to contact us with their administrative concerns. As staff dedicated to providing a service, we act on requests and inquiries from the public and address them immediately. All appeals are dealt with within a 72 hour period as is protocol. An applicant who feels that his/her application has not been acted upon in a timely manner is informed of their right to a fair hearing. The hearing can be requested within 72 hours and scheduled within 72 hours. The result of the initial hearing will be in writing to the grievant. If the result of the hearing is not to the applicants satisfaction, the applicant is informed in writing to proceed to the Oglala Sioux Tribe's Cheif of Staff, HHS Administrative Officer.

12.7 When and how are applicants informed of these rights?
The applicant is informed during the intake of the application. Once they receive their certification they know what they are eligible for. If an applicant has any questions they are informed by staff of their right to appeal.

Although the process is initially verbal, a denial letter with their right to appeal will be prepared stating the reasons for the program decision and its basis as per program policy and tribal and federal regulations.

Section 8 - Appeals of the current policy and procedures speaks to resolution of appeals with notification of ineligibility. A poster board will be constructed and posted in the Oglala Lakota Nation/Oglala Sioux Tribe’s LIHEAP office giving notice of the applicants and LIHEAP recipients right to appeal. The 2021 certification forms will have a written notice of the right to fair 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 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?

LIHEAP funds are provided with encouragement for energy saving, energy saving tips (brochures, incentives, and information in regards to reduction of energy burdens), as well as through basic weatherization materials. We utilize needs assessments. We offer referrals for financial literacy classes to our participants. We have meetings/negotiations with energy providers in hopes of development of vendor agreements and fix prices to save our high energy burdened households money.

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

It is calculated in the formula of our overall budget and justified by the amount of materials used for this purpose.

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

We provide education to our clients and this has proved vital to the homes with high energy burdens. This year OST LIHEAP conducted a Maka Yoomihan (Honoring the Earth) campaign. Outreach was conducted to each of the nine districts and energy savings, financial literacy education, as well as incentives of two trees per eligible household were distributed.

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

n/a

13.5 How many households applied for these services? 820

13.6 How many households received these services? 820

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.
14.1 Do you plan to submit an application for the leveraging incentive program?
- [ ] Yes
- [ ] No

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

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

<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></td>
<td></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 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
- How often?
  - □ Annually
  - □ Biannually
  - □ As needed
  - □ Other - Describe:
- □ Employees are provided with policy manual
- □ Other - Describe:

**c. Vendors**
- □ Formal training conference
- How often?
  - □ Annually
  - □ Biannually
  - □ As needed
  - □ Other - Describe:
| Policies communicated through vendor agreements | Policies are outlined in a vendor manual | Other - Describe: |

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

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

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

Not applicable, required for States only.

If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.
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
- [x] Report directly to local agency/district office or Grantee office
- [x] 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

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

17.2. Identification Documentation Requirements

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

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

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

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

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

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

- [x] Computer data matches:
  - [x] Income information matched against state computer system (e.g., SNAP, TANF)
  - [x] 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:

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
### 17.9. Benefits Policy - Bulk Fuel Vendors

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

- [x] Vendors are checked against an approved vendors list
- [x] Centralized computer system/database is used to track payments to all vendors
- [x] Clients are relied on for reports of non-delivery or partial delivery
- [ ] Two-party checks are issued naming client and vendor
- [ ] Direct payment to households are made in limited cases only
- [x] 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.

- [x] Refer to state Inspector General
- [x] Refer to local prosecutor or state Attorney General
- [x] Refer to US DHHS Inspector General (including referral to OIG hotline)
- [ ] Local agencies/district offices or Grantee conduct investigation of fraud complaints from public
- [ ] Grantee attempts collection of improper payments. If so, describe the recoupment process
- [x] Clients found to have committed fraud are banned from LIHEAP assistance. For how long is a household banned? 1 year
- [x] Contracts with local agencies require that employees found to have committed fraud are reprimanded and/or terminated
- [x] Vendors found to have committed fraud may no longer participate in LIHEAP
- [ ] Other - Describe:

  Misappropriations are referred to financial accounting office of the Oglala Sioux Tribe OST Attorney General and law enforcement if necessary

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

Instructions for Certification

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

2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.

3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

4. The prospective primary participant shall provide immediate written notice to the department or agency to which this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

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

6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.

7. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction,"
provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

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

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

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

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

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

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

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

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

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

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

Instructions for Certification

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

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

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

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

5. The prospective lower tier participant agrees by submitting this proposal that, [[Page 33043]] should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

6. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled `Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

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

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

9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

Certification Regarding Debarment, Suspension, Ineligibility an Voluntary Exclusion--Lower Tier Covered Transactions

(1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

(2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

☑️ By checking this box, the prospective primary participant is providing the certification set out above.
Section 19: Certification Regarding Drug-Free Workplace Requirements

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Certification Regarding Drug-Free Workplace Requirements

Alternate I. (Grantees Other Than Individuals)
The grantee certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
(b) Establishing an ongoing drug-free awareness program to inform employees about --
   (1) The dangers of drug abuse in the workplace;
   (2) The grantee's policy of maintaining a drug-free workplace;
   (3) Any available drug counseling, rehabilitation, and employee assistance
programs; and
(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will --
(1) Abide by the terms of the statement; and
(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
(e) Notifying the agency in writing, within ten calendar days after receiving notice under paragraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;
(f) Taking one of the following actions, within 30 calendar days of receiving notice under paragraph (d)(2), with respect to any employee who is so convicted -
(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f).

(B) The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

<table>
<thead>
<tr>
<th>Place of Performance (Street address, city, county, state, zip code)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Box 1051</td>
</tr>
<tr>
<td>820 South G Street</td>
</tr>
<tr>
<td>Address Line 3</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 in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant;
(b) If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, he or she will report the conviction, in writing, within 10 calendar days of the conviction, to every grant officer or other designee, unless the Federal agency designates a central point for the receipt of such notices. When notice is made to such a central point, it shall include the identification number(s) of each affected grant.

[55 FR 21690, 21702, May 25, 1990]

☑️  By checking this box, the prospective primary participant is providing the certification set out above.
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
By checking this box, the prospective primary participant is providing the certification set out above.
(1) use the funds available under this title to--

(A) conduct outreach activities and provide assistance to low income households in meeting their home energy costs, particularly those with the lowest incomes that pay a high proportion of household income for home energy, consistent with paragraph (5);

(B) intervene in energy crisis situations;

(C) provide low-cost residential weatherization and other cost-effective energy-related home repair; and

(D) plan, develop, and administer the State’s program under this title including leveraging programs, and the State agrees not to use such funds for any purposes other than those specified in this title;

(2) make payments under this title only with respect to--

(A) households in which one or more individuals are receiving--

(i) assistance under the State program funded under part A of title IV of the Social Security Act;

(ii) supplemental security income payments under title XVI of the Social Security Act;

(iii) food stamps under the Food Stamp Act of 1977; or

(iv) payments under section 415, 521, 541, or 542 of title 38, United States Code, or under section 306 of the Veterans’ and Survivors’ Pension Improvement Act of 1978; or

(B) households with incomes which do not exceed the greater of -

(i) an amount equal to 150 percent of the poverty level for such State; or

(ii) an amount equal to 60 percent of the State median income;

(except that a State may not exclude a household from eligibility in a fiscal year solely on the basis of household income if such income is less than 110 percent of the poverty level for such State, but the State may give priority to those households with the highest home energy costs or needs in relation to household income.

(3) conduct outreach activities designed to assure that eligible households, especially households with elderly individuals or disabled individuals, or both, and households with high home energy burdens, are made aware of the assistance available under this title, and any similar energy-related assistance available under subtitle B of title VI (relating to community services block grant
program) or under any other provision of law which carries out programs which were administered under the Economic Opportunity Act of 1964 before the date of the enactment of this Act;

(4) coordinate its activities under this title with similar and related programs administered by the Federal Government and such State, particularly low-income energy-related programs under subtitle B of title VI (relating to community services block grant program), under the supplemental security income program, under part A of title IV of the Social Security Act, under title XX of the Social Security Act, under the low-income weatherization assistance program under title IV of the Energy Conservation and Production Act, or under any other provision of law which carries out programs which were administered under the Economic Opportunity Act of 1964 before the date of the enactment of this Act;

(5) provide, in a timely manner, that the highest level of assistance will be furnished to those households which have the lowest incomes and the highest energy costs or needs in relation to income, taking into account family size, except that the State may not differentiate in implementing this section between the households described in clauses 2(A) and 2(B) of this subsection;

(6) to the extent it is necessary to designate local administrative agencies in order to carry out the purposes of this title, to give special consideration, in the designation of such agencies, to any local public or private nonprofit agency which was receiving Federal funds under any low-income energy assistance program or weatherization program under the Economic Opportunity Act of 1964 or any other provision of law on the day before the date of the enactment of this Act, except that -

(A) the State shall, before giving such special consideration, determine that the agency involved meets program and fiscal requirements established by the State; and

(B) if there is no such agency because of any change in the assistance furnished to programs for economically disadvantaged persons, then the State shall give special consideration in the designation of local administrative agencies to any successor agency which is operated in substantially the same manner as the predecessor agency which did receive funds for the fiscal year preceding the fiscal year for which the determination is made;

(7) if the State chooses to pay home energy suppliers directly, establish procedures to --

(A) notify each participating household of the amount of assistance paid on its behalf;

(B) assure that the home energy supplier will charge the eligible household, in the normal billing process, the difference between the actual cost of the home energy and the amount of the payment made by the State under this title;

(C) assure that the home energy supplier will provide assurances that any agreement entered into with a home energy supplier under this paragraph will
contain provisions to assure that no household receiving assistance under this title will be treated adversely because of such assistance under applicable provisions of State law or public regulatory requirements; and

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

(8) provide assurances that,

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

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

(9) provide that--

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

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

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

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

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

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

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

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

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

The following documents must be attached to this application

- Delegation Letter is required if someone other than the Governor or Chairman Certified this Report.

- Heating component benefit matrix, if applicable

- Cooling component benefit matrix, if applicable

- Minutes, notes, or transcripts of public hearing(s).