

**DETAILED MODEL PLAN (LIHEAP)**

Program Name: Low Income Home Energy Assistance

Grantee Name: Missouri

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

Report Period: 10/01/2018 to 09/30/2019

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

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## Mandatory Grant Application SF-424

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

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

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

<b>* 1.a. Type of Submission:</b> <input checked="" type="radio"/> Plan	<b>* 1.b. Frequency:</b> <input checked="" type="radio"/> Annual	<b>* 1.c. Consolidated Application/Plan/Funding Request?</b>  <b>Explanation:</b>	<b>* 1.d. Version:</b> <input checked="" type="radio"/> Initial <input type="radio"/> Resubmission <input type="radio"/> Revision <input type="radio"/> Update
		<b>2. Date Received:</b>	<b>State Use Only:</b>
		<b>3. Applicant Identifier:</b>	
		<b>4a. Federal Entity Identifier:</b>	<b>5. Date Received By State:</b>
		<b>4b. Federal Award Identifier:</b>	<b>6. State Application Identifier:</b>
<b>7. APPLICANT INFORMATION</b>			
<b>* a. Legal Name:</b> State of Missouri			
<b>* b. Employer/Taxpayer Identification Number (EIN/TIN):</b> 1-446000987-B6		<b>* c. Organizational DUNS:</b> 780870267	
<b>* d. Address:</b>			
<b>* Street 1:</b>	MISSOURI ENERGY ASSISTANCE UNIT	<b>Street 2:</b>	P.O. BOX 2320
<b>* City:</b>	JEFFERSON CITY	<b>County:</b>	Cole
<b>* State:</b>	MO	<b>Province:</b>	
<b>* Country:</b>	United States	<b>* Zip / Postal Code:</b>	65203 - 0088
<b>e. Organizational Unit:</b>			
<b>Department Name:</b> Social Services		<b>Division Name:</b> Family Support Division	
<b>f. Name and contact information of person to be contacted on matters involving this application:</b>			
<b>Prefix:</b>	<b>* First Name:</b> Lori	<b>Middle Name:</b> P	<b>* Last Name:</b> Mckee
<b>Suffix:</b>	<b>Title:</b> Management Analyst Specialist 2	<b>Organizational Affiliation:</b>	
<b>* Telephone Number:</b> 573 526-0677	<b>Fax Number:</b> 573 522-9557	<b>* Email:</b> lori.j.mckee@dss.mo.gov	
<b>* 8a. TYPE OF APPLICANT:</b> A: State Government			
<b>b. Additional Description:</b>			
<b>* 9. Name of Federal Agency:</b>			
		Catalog of Federal Domestic Assistance Number:	CFDA Title:
<b>10. CFDA Numbers and Titles</b>		93568	Low-Income Home Energy Assistance
<b>11. Descriptive Title of Applicant's Project</b>			
<b>12. Areas Affected by Funding:</b>			
<b>13. CONGRESSIONAL DISTRICTS OF:</b>			

* a. Applicant 3		b. Program/Project: State wide	
Attach an additional list of Program/Project Congressional Districts if needed.			
14. FUNDING PERIOD:		15. ESTIMATED FUNDING:	
a. Start Date: 10/01/2018	b. End Date: 09/30/2019	* a. Federal (\$): \$0	b. Match (\$): \$0
* 16. IS SUBMISSION SUBJECT TO REVIEW BY STATE UNDER EXECUTIVE ORDER 12372 PROCESS?			
a. This submission was made available to the State under the Executive Order 12372			
Process for Review on :			
b. Program is subject to E.O. 12372 but has not been selected by State for review.			
c. Program is not covered by E.O. 12372.			
* 17. Is The Applicant Delinquent On Any Federal Debt?			
<input type="radio"/> YES <input checked="" type="radio"/> 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) <b>**I Agree</b> <input checked="" type="checkbox"/>			
** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.			
18a. Typed or Printed Name and Title of Authorized Certifying Official Steve Corsi		18c. Telephone (area code, number and extension)	
		18d. Email Address Steve.Corsi@dss.mo.gov	
18b. Signature of Authorized Certifying Official 		18e. Date Report Submitted (Month, Day, Year) 09/14/2018	
<b>Attach supporting documents as specified in agency instructions.</b>			

## 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.)		Dates of Operation	
		Start Date	End Date
<input checked="" type="checkbox"/>	Heating assistance	11/01/2018	03/31/2019
<input type="checkbox"/>	Cooling assistance		
<input checked="" type="checkbox"/>	Crisis assistance	11/01/2018	09/30/2019
<input checked="" type="checkbox"/>	Weatherization assistance	10/01/2018	09/30/2019

Provide further explanation for the dates of operation, if necessary

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

1.2 Estimate what amount of available LIHEAP funds will be used for each component that you will operate: The total of all percentages must add up to 100%.	Percentage ( % )
Heating assistance	42.00%
Cooling assistance	0.00%
Crisis assistance	28.00%
Weatherization assistance	10.00%
Carryover to the following federal fiscal year	10.00%
Administrative and planning costs	10.00%
Services to reduce home energy needs including needs assessment (Assurance 16)	0.00%
Used to develop and implement leveraging activities	0.00%
<b>TOTAL</b>	<b>100.00%</b>

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

<input type="checkbox"/>	Heating assistance	<input type="checkbox"/>	Cooling assistance
<input type="checkbox"/>	Weatherization assistance	<input checked="" type="checkbox"/>	<b>Other (specify):</b> Winter Crisis funds through May 31 (Subject to availability of funds). Beginning June 1, any Winter Crisis funds not expended are reprogrammed to Summer 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.**

	Heating	Cooling	Crisis	Weatherization
TANF	<input type="radio"/> Yes <input type="radio"/> No	<input type="radio"/> Yes <input type="radio"/> No	<input type="radio"/> Yes <input type="radio"/> No	<input type="radio"/> Yes <input type="radio"/> No
SSI	<input type="radio"/> Yes <input type="radio"/> No	<input type="radio"/> Yes <input type="radio"/> No	<input type="radio"/> Yes <input type="radio"/> No	<input type="radio"/> Yes <input type="radio"/> No
SNAP	<input type="radio"/> Yes <input type="radio"/> No	<input type="radio"/> Yes <input type="radio"/> No	<input type="radio"/> Yes <input type="radio"/> No	<input type="radio"/> Yes <input type="radio"/> No
Means-tested Veterans Programs	<input type="radio"/> Yes <input type="radio"/> No	<input type="radio"/> Yes <input type="radio"/> No	<input type="radio"/> Yes <input type="radio"/> No	<input type="radio"/> Yes <input type="radio"/> No

	Program Name	Heating	Cooling	Crisis	Weatherization
Other(Specify) 1		<input type="radio"/> Yes <input type="radio"/> No	<input type="radio"/> Yes <input type="radio"/> No	<input type="radio"/> Yes <input type="radio"/> No	<input type="radio"/> Yes <input type="radio"/> No

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

If Yes, explain:

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

SNAP Nominal Payments

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

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

**1.7b Amount of Nominal Assistance:** \$0.00

**1.7c Frequency of Assistance**

<input type="checkbox"/>	Once Per Year
<input type="checkbox"/>	Once every five years
<input type="checkbox"/>	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 ?**

<input checked="" type="checkbox"/>	Gross Income
<input type="checkbox"/>	Net Income

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

<input checked="" type="checkbox"/>	Wages
<input checked="" type="checkbox"/>	Self - Employment Income
<input checked="" type="checkbox"/>	Contract Income
<input checked="" type="checkbox"/>	Payments from mortgage or Sales Contracts

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

<input type="checkbox"/>	<b>Income tax refunds</b>
<input type="checkbox"/>	<b>Stipends from senior companion programs, such as VISTA</b>
<input checked="" type="checkbox"/>	<b>Funds received by household for the care of a foster child</b>
<input type="checkbox"/>	<b>Ameri-Corp Program payments for living allowances, earnings, and in-kind aid</b>
<input type="checkbox"/>	<b>Reimbursements (for mileage, gas, lodging, meals, etc.)</b>
<input checked="" type="checkbox"/>	<b>Other</b> Sheltered Workshop Supported Employment (administered by the Division of Vocational Rehabilitation), Roomer/Boarder Income, Conservation Reserve Program (CRP), Royalties, Adoption Subsidies, Armed Forces Allotment, Black Lung, Blind Pension, Disability payments through private insurance company, or employer sponsored Installment Payments, Railroad Retirement Benefits, Strike Benefits, Supplemental Aid to the Blind, Supplemental State Payments, Workman's Compensation, Support from an individual(s) outside the LIHEAP household including contributions, personal loans, stipends and allotments from nursing homes, and proceeds from selling blood or plasma. Other payments for services rendered.
<p style="color: red;">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.</p>	

## Section 2 - HEATING ASSISTANCE

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

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

#### Section 2 - Heating Assistance

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

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

Add	Household size	Eligibility Guideline	Eligibility Threshold
1	All Household Sizes	HHS Poverty Guidelines	135.00%

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

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

**Do you require an Assets test ?**  Yes  No

**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? See Explanation Policies Below**  Yes  No

**Explanations of policies for each "yes" checked above:**

LIHEAP eligibility is based on four (4) main areas: 1) Citizenship and Permanent Legal Resident Status - A household member(s) must be a citizen of the United States or be admitted to this country for permanent residence. 2) Resources - Each household's resources may not exceed \$3,000. 3) Responsibility for Heating/Cooling Costs - Each household must establish they have an account in their name or meet the definition of a renter/landlord applicant and are incurring heating/cooling costs. 4) Income Based on Household Size - Each household must meet specified income guidelines (135% of the federal poverty level) based on their household size. Renters: Individuals living in rental property and who are paying a home energy supplier directly for their heating costs receive the same benefit as a similarly situated homeowner. Renters living in Subsidized Housing: Households residing in public subsidized housing with utilities included as an undesignated portion of their monthly rent, provided they can document they are paying energy costs over and above the utility allowance included in their regular monthly rental charge. Renters Utilities included in the Rent: Households with heating costs included as undesignated portion of their monthly rental charge receive a payment equal to 8% of their annual rental costs or the amount they would receive as a home owner, whichever is less.

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.**

Applications for households with a household member(s) that is elderly and/or disabled are mailed and accepted for processing each year in the month of October, one month prior to official program beginning. The official program beginning date is November of each year. A \$100 medical deduction is automatically given to households in which the applicant or spouse is elderly (age 65 or older) or disabled. Only one (1) \$100 deduction will be allowed, even if both applicant and spouse meet either or both criteria. Energy Assistance (EA) benefits are determined based on each household meeting specified income guidelines (135% of the federal poverty level) based on their household size and fuel type. Our attached payment matrices indicates compliance with this assurance by virtue of the fact that benefit amounts decrease as income increases to reflect the household's energy costs in relation to their income.

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

Income



<input checked="" type="checkbox"/> Family (household) size				
<input checked="" type="checkbox"/> Home energy cost or need:				
<input checked="" type="checkbox"/> Fuel type				
<input type="checkbox"/> Climate/region				
<input type="checkbox"/> Individual bill				
<input type="checkbox"/> Dwelling type				
<input type="checkbox"/> Energy burden (% of income spent on home energy)				
<input type="checkbox"/> Energy need				
<input type="checkbox"/> Other - Describe:				
Benefit Levels, 2605(b)(5) - Assurance 5, 2605(c)(1)(B)				
<b>2.6 Describe estimated benefit levels for FY 2018:</b>				
<table border="1"> <tr> <td>Minimum Benefit</td> <td>\$47</td> <td>Maximum Benefit</td> <td>\$495</td> </tr> </table>	Minimum Benefit	\$47	Maximum Benefit	\$495
Minimum Benefit	\$47	Maximum Benefit	\$495	
<b>2.7 Do you provide in-kind (e.g., blankets, space heaters) and/or other forms of benefits?</b> <input type="radio"/> Yes <input checked="" type="radio"/> No				
If yes, describe.				
If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.				

## Section 3 - COOLING ASSISTANCE

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

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

#### Section 3 - Cooling Assistance

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

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

Add	Household size	Eligibility Guideline	Eligibility Threshold
1			0.00%

**3.2 Do you have additional eligibility requirements for COOLING ASSISTANCE?**  Yes  No

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

**Do you require an Assets test ?**  Yes  No

**Do you have additional/differing eligibility policies for:**

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

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

- |                                       |  |
|---------------------------------------|--|
| Elderly?                              | <input type="radio"/> Yes <input type="radio"/> No |
| Disabled?                             | <input type="radio"/> Yes <input type="radio"/> No |
| Young children?                       | <input type="radio"/> Yes <input type="radio"/> No |
| Households with high energy burdens ? | <input type="radio"/> Yes <input type="radio"/> No |
| Other?                                | <input type="radio"/> Yes <input type="radio"/> No |

Explanations of policies for each "yes" checked above:

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

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

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

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

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

**3.6 Describe estimated benefit levels for FY 2018:**

<b>Minimum Benefit</b>	\$0	<b>Maximum Benefit</b>	\$0
------------------------	-----	------------------------	-----

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

If yes, describe.

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

## Section 4 - CRISIS ASSISTANCE

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

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### LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP) MODEL PLAN 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

Add	Household size	Eligibility Guideline	Eligibility Threshold
1	All Household Sizes	HHS Poverty Guidelines	135.00%

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

The Energy Crisis Intervention Program (ECIP) is designed to provide financial assistance to households in a verifiable energy crisis. This crisis is defined as receipt of termination or disconnect notice indicating a specific disconnect date; a final billing statement advising the account has been terminated; if they are a cash on delivery (COD) customer, when the propane tank is filled at less than 20% capacity, and when a pre-paid electric customer indicates their pre-paid usage is about to run out.

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

A household currently without energy services that could impact:

An illness or medical condition that poses an immediate risk to the health or life of any LIHEAP household member due to a life-threatening medical condition. Medical statement required; or

When a life threatening medical condition is sustained by the use of a medical device which requires the use of a source of energy for operation. Medical statement required. Reasonable exclusions: carbon monoxide detectors, smoke alarms, other devices not medically required to support life. The reasonable exclusions listed are not all inclusive.

##### Crisis Requirement, 2604(c)

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

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

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

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? See Explanation of Policies Below  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?	<input checked="" type="radio"/> Yes <input type="radio"/> No
Must renters with heating costs included in their rent have received an eviction notice ?	<input type="radio"/> Yes <input checked="" type="radio"/> No
Must heating/cooling be medically necessary?	<input type="radio"/> Yes <input checked="" type="radio"/> No
Must the household have non-working heating or cooling equipment?	<input type="radio"/> Yes <input checked="" type="radio"/> No
Other? The household is cash on delivery (COD) customer. The pre-paid electric customer indicates their pre-paid usage is about to run out.	<input checked="" type="radio"/> Yes <input type="radio"/> No
Do you have additional / differing eligibility policies for:	
Renters?	<input type="radio"/> Yes <input checked="" type="radio"/> No
Renters living in subsidized housing?	<input checked="" type="radio"/> Yes <input type="radio"/> No
Renters with utilities included in the rent?	<input checked="" type="radio"/> Yes <input type="radio"/> No
Explanations of policies for each "yes" checked above:	
<p>According to Missouri's LIHEAP, there are no additional eligibility requirements for crisis assistance; however, in order to receive a window air conditioner unit, there is an age restriction and medical necessity may be required. The policy is written as follows:</p> <p>A household that is LIHEAP eligible must have a member who is sixty-five (65) or older or have any household member that has a letter from a qualified physician or nurse practitioner stating that a life-threatening condition exists where an air conditioner will eliminate or significantly reduce the possibility of loss of life or heat-related illness. The letter does not have to include the diagnosis or condition; it only has to indicate there is a need for air conditioning.</p> <p>LIHEAP eligibility is based on four (4) main areas:</p> <p><b>Citizenship and Permanent Legal Resident Status</b> - A household member(s) must be a citizen of the United States or be admitted to this country for permanent residence.</p> <p><b>Resources</b> - Each household's resources may not exceed \$3,000.</p> <p><b>Responsibility for Heating/Cooling Costs</b> - Each household must establish they have an account in their name or meet the definition of a renter/landlord applicant and are incurring heating/cooling costs. Applicants for the Energy Crisis Intervention Program (ECIP) component must additionally have received a notice of termination or services have already been terminated. Renters whose heating/cooling costs are included in their rent are not eligible to receive ECIP benefits. Landlord cases, when the landlord sends a fuel bill to the renter, are eligible to receive ECIP benefits as long as the contracted agency receives in writing from the landlord that the applicant's service is threatened or terminated. This information should be documented.</p> <p><b>Income Based on Household Size</b> - Each household must meet specified income guidelines (135% of the federal poverty level) based on their household size.</p> <p><b>In addition:</b></p> <p>Applications are mailed and accepted for Elderly and/or Disabled during each year in the month of October, one month prior to official program beginning. The official program beginning date is November of each year.</p> <p>A \$100 medical deduction is automatically given to household in which the applicant or spouse is elderly (age 65 or older) or disabled. Only one \$100 deduction will be allowed, even if both applicant and spouse meet either or both criteria.</p> <p>Renter households are not eligible for ECIP.</p>	
Determination of Benefits	
4.8 How do you handle crisis situations?	
<input checked="" type="checkbox"/>	Separate component
<input type="checkbox"/>	Fast Track
<input type="checkbox"/>	Other - Describe:
4.9 If you have a separate component, how do you determine crisis assistance benefits?	
<input type="checkbox"/>	Amount to resolve the crisis.
<input checked="" type="checkbox"/>	Other - Describe: Amount to resolve the crisis, not to exceed \$800 for Winter ECIP and \$300 for Summer ECIP.
Crisis Requirements, 2604(c)	
4.10 Do you accept applications for energy crisis assistance at sites that are geographically accessible to all households in the area to be served?	
<input checked="" type="radio"/> Yes <input type="radio"/> No Explain.	

Each of Missouri's nineteen (19) contract agencies provides access to services at a set number of counties. Missouri has 114 counties and the City of St. Louis which all are covered by the nineteen (19) contract agencies.

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

Submit applications for crisis benefits without leaving their homes?

Yes  No If No, explain.

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

Yes  No If No, explain.

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

Households may access the LIHEAP website directly, download and print. (On-line submission is not available). Applications, including supporting documentation, may be mailed or faxed to the contract agency that services the county the applicant lives in. "Where to Mail Your LIHEAP Application" is included with the printed LIHEAP application. NOTE: Not all agencies accept faxed applications.

Home visits to take an application for services, will be made within thirty (30) calendar days of the request when a valid reason exists. The decision regarding the necessity of a home visit will be made by each contract agencies LIHEAP Manager.

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

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

Winter Crisis \$800.00 maximum benefit

Summer Crisis \$300.00 maximum benefit

Year-round Crisis \$0.00 maximum benefit

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

Yes  No If yes, Describe

Emergency Services can be provided to protect the health and safety of the household when other forms of assistance under LIHEAP will not resolve the energy related crisis. Applicants must be LIHEAP eligible in order to receive Emergency Services. Emergency Services funding comes from ECIP Direct Service dollars. Recipients of ECIP funding are not entitled to direct payments. If an Emergency Service is provided, the household will not be reimbursed if they pay out of pocket in advance. Contracted agencies are allowed to utilize no more than 2% of the Direct Service funding if they choose to provide Emergency Services as part of their LIHEAP services. This funding for Emergency needs is: blanket purchases, emergency lodging, air conditioner window units, wood stoves, furnace and central air replacement or repairs. Funding used for Emergency Services are deducted from the ECIP Direct maximum of \$800 for Winter ECIP and \$300 for Summer ECIP.

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

Yes  No

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

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

	Winter Crisis	Summer Crisis	Year-round Crisis
Heating system repair	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Heating system replacement	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Cooling system repair	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Cooling system replacement	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Wood stove purchase	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Pellet stove purchase	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Solar panel(s)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Utility poles / gas line hook-ups	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other (Specify): Furnace and Central Air replacement or repairs are part of the Emergency Services that an agency can provide. Emergency Services funding comes from ECIP Direct Service dollars. Recipients of ECIP	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

funding are not entitled to direct payments. If an Emergency Service is provided, the household will not be reimbursed if they pay out of pocket in advance. Contracted agencies are allowed to utilize no more than 2% of the Direct Service funding if they choose to provide Emergency Services as part of their LIHEAP services. Additional funding up to \$400 can be applied to furnace and central air replacement or repairs for applicants eligible for LIHEAP. (The additional \$400 will not be utilized for additional payment on a household's energy bill). Funding used for Emergency Services are deducted from the ECIP Direct maximum of \$800 for Winter ECIP or \$300 for Summer ECIP. The additional \$400 cannot be accessed until the ECIP benefit maximum of \$800 for Winter ECIP or \$300 for Summer ECIP has been exhausted. Emergency Services also provides Blankets and Emergency Lodging under Winter Crisis.

**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.**

The Missouri Public Service Commission (PSC) established a Cold Weather Rule (CWR) for Missouri's investor owned utilities. The CWR prohibits the disconnection of heat-related services and allows customers to make a payment arrangement when the temperature is forecasted to drop below thirty-two (32) degrees. The time period covered under the CWR is November 1 through March 31 of each year. Households that do not honor the payment arrangements made will be subject to disconnect once the temperature is above thirty-two (32) degrees or beginning in April; whichever comes first.

The PSC established a Hot Weather Rule (HWR) for Missouri's investor owned utilities. The HWR addresses time periods which prohibit the termination of energy services to customers when certain extreme heat conditions are forecasted to exceed ninety-five (95) degrees. The time period covered under the HWR is June 1 through September 30. Households will be subject to disconnect once the temperature is below ninety-five (95) degrees or beginning in October; whichever comes first.

Should an applicant present proof a crisis exists for purposes of receiving ECIP funds, the contract agency should verify with the energy provider whether the service will be terminated or is actually terminated or whether the service will continue due to the CWR or HWR. If the service remains on due to one of these rules, the 18/48 hour requirements do not begin until the day after the service will actually be disconnected. The contract agency should not assume the CWR or HWR are in place just because the timing falls between the moratorium time periods.

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

## Section 5 - WEATHERIZATION ASSISTANCE

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

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OMB Clearance No.: 0970-0075  
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### LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP) MODEL PLAN SF - 424 - MANDATORY

#### Section 5: WEATHERIZATION ASSISTANCE

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

**5.1 Designate the income eligibility threshold used for the Weatherization component**

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

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

**5.3 If yes, name the agency.** Missouri Department of Economic Development.

**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:

Weatherization has their own fiscal and technical monitoring protocols.

- Mostly under DOE WAP rules, with the following LIHEAP rule(s) where LIHEAP and WAP rules differ (Check all that apply):
  - Income Threshold
  - Weatherization not subject to DOE WAP maximum statewide average cost per dwelling unit.
  - Weatherization measures are not subject to DOE Savings to Investment Ration (SIR ) standards.
  - Other - Describe:

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

**5.6 Do you require an assets test?**  Yes  No

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

**Renters**  Yes  No

**Renters living in subsidized housing?**  Yes  No

**5.8 Do you give priority in eligibility to:**

**Elderly?**  Yes  No



Disabled?	<input checked="" type="radio"/> Yes <input type="radio"/> No
Young Children?	<input checked="" type="radio"/> Yes <input type="radio"/> No
House holds with high energy burdens?	<input checked="" type="radio"/> Yes <input type="radio"/> No
Other? Each sub grantee has the option to use this criteria; however, if they do use this criteria, they must apply it to all households.	<input checked="" type="radio"/> Yes <input type="radio"/> No
<p>If you selected "Yes" for any of the options in questions 5.6, 5.7, or 5.8, you must provide further explanation of these policies in the text field below.</p> <p>The renter's landlord must sign a "Landlord Agreement Form" and it is encouraged that the landlord provide a minimum of 5% cash contribution of the estimated cost to weatherize the unit. For buildings of five or more units under one roof, the landlord must contribute a minimum of 25% cash contribution of the estimated cost to weatherize the units before weatherization work can begin.</p> <p>Automatic DOE WAP eligibility is allowed for clients living in multi-family properties that have been determined to meet certain eligibility criteria through the United States Department of Housing and Urban Development and the United States Department of Agriculture.</p> <p>Under benefit levels from below, there is no maximum LIHEAP weatherization benefit/expenditure per household; however, \$7,261 is the statewide average cost per home maximum, individual households may exceed this \$7,261.</p>	
Benefit Levels	
5.9 Do you have a maximum LIHEAP weatherization benefit/expenditure per household? <input type="radio"/> Yes <input checked="" type="radio"/> No	
5.10 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.)	
<input checked="" type="checkbox"/> Weatherization needs assessments/audits	<input checked="" type="checkbox"/> Energy related roof repair
<input checked="" type="checkbox"/> Caulking and insulation	<input type="checkbox"/> Major appliance Repairs
<input checked="" type="checkbox"/> Storm windows	<input checked="" type="checkbox"/> Major appliance replacement
<input checked="" type="checkbox"/> Furnace/heating system modifications/ repairs	<input type="checkbox"/> Windows/sliding glass doors
<input checked="" type="checkbox"/> Furnace replacement	<input checked="" type="checkbox"/> Doors
<input checked="" type="checkbox"/> Cooling system modifications/ repairs	<input checked="" type="checkbox"/> Water Heater
<input checked="" type="checkbox"/> Water conservation measures	<input checked="" type="checkbox"/> Cooling system replacement
<input checked="" type="checkbox"/> Compact florescent light bulbs	<input checked="" type="checkbox"/> Other - Describe: Minimal roof repair, major appliance replacement is limited to refrigerators, windows must be cost effective, door installation limited to exterior doors and must be cost effective, mechanical ventilation (exhaust fans) minor moisture repair and duct sealing and duct insulation. LED light bulbs are also a weatherization measure.
<p>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.</p>	

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

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

**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):

Regulated home energy providers are required to provide inserts with billing notices for the program.

Regarding mass mailings, the applicant is responsible for completing, signing, attaching required documentation, and returning the application to the contract agency designated to process their application for services.

LIHEAP has a brochure (English and Spanish versions) located on it's website <https://dss.mo.gov/fsd/energy-assistance/> . This brochure can be accessed by anyone for printing and distribution.

The LIHEAP Manager speaks at varied meetings/activities to share information regarding Missouri's LIHEAP.

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

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

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

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

<input type="checkbox"/>	Joint application for multiple programs
<input type="checkbox"/>	Intake referrals to/from other programs
<input type="checkbox"/>	One - stop intake centers
<input checked="" type="checkbox"/>	Other - Describe:

All programs, with the exception of TITLE VI of the Energy Conservation Act, are administered by the Department of Social Services (DSS) or through contractual arrangements with the nineteen (19) contract agencies throughout the state. Eighteen of which are Community Action Agencies (CAA) and one (1) being the Urban League of Metropolitan St. Louis, a non-profit organization. CAA's are sub-grantees for the Community Services Block Grant (CSBG) and Head Start, distribute USDA surplus commodities to low income households, administer programs for Missouri's homeless population, administer the Energy Crisis Intervention Program (ECIP) component of LIHEAP, and the intake and eligibility determination functions for the Energy Assistance (EA) component of LIHEAP. This list is not inclusive of all the services provided. The Urban League of Metropolitan St. Louis covers many of the same functions as the CAA's, a primary exception being the CSBG.

All nineteen (19) contract agencies also provide information services through contractual agreements with the Missouri Department of Economic Development for Weatherization services. Missouri's LIHEAP generates a Non-Weatherization printout and shares this with all nineteen (19) contract agencies.

DSS Family Support Division (FSD) Income Maintenance (IM), who administers TANF, Food Stamps and MO HealthNet (Medicaid) has established Resource Centers where clients can come in person to receive services. Resource Center staff will assist us in their communities by working closely with community partners to provide wrap-around services for the families we serve including providing information concerning LIHEAP.

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

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

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES  
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#### Section 8: Agency Designation, 2605(b)(6) - Assurance 6 (Required for state grantees and the Commonwealth of Puerto Rico)

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

<input type="checkbox"/>	Administration Agency
<input type="checkbox"/>	Commerce Agency
<input type="checkbox"/>	Community Services Agency
<input type="checkbox"/>	Energy / Environment Agency
<input type="checkbox"/>	Housing Agency
<input checked="" type="checkbox"/>	Welfare Agency
<input type="checkbox"/>	Other - Describe:

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

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

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

FSD provides alternate outreach by participating in the Missouri Public Service Commission's campaign to educate households on the seasons' rising utility costs and how each household can conserve and take action of their usage and bills. MO BEE (Bee Energy Efficient) will be utilized with state departments and community agencies. Contract agencies are working on outreach efforts through back to school fairs and energy conservation fairs. Some contract agencies have home energy suppliers and other social service agencies such as the American Association of Retired Persons (AARP), United Way, Catholic Charities, Salvation Army, 211(through United Way), etc. involved with providing outreach and assistance for low-income citizens.

Outreach is also conducted by contract agencies which provide articles for faith-based organizations, media, local schools, and outreach/education programs sponsored by the Public Service Commission (PSC) and Department of Economic Development.

Agencies provide intake service through home visits or by telephone for the physically infirm (i.e. elderly or disabled).

FSD website provides outreach through the LIHEAP web page @ <https://dss.mo.gov/fsd/energy-assistance/>. This web page also contains a link to the LIHEAP brochure.

The LIHEAP manager speaks at varied meetings/activities to share information regarding Missouri's LIHEAP.

**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?**

FSD provides alternate outreach by participating in the Missouri Public Service Commission's campaign to educate households on the seasons

rising utility costs and how each household can conserve and take action of their usage and bills. MO BEE (Bee Energy Efficient) will be utilized with state departments and community agencies. Contract agencies are working on outreach efforts through back to school fairs and energy conservation fairs. Some contract agencies have home energy suppliers and other social service agencies such as the American Association of Retired Persons (AARP), United Way, Catholic Charities, Salvation Army, 211(through United Way), etc. involved with providing outreach and assistance for low-income citizens.

Outreach is also conducted by contract agencies which provide articles for faith-based organizations, media, local schools, and outreach/education programs sponsored by the Public Service Commission (PSC) and Department of Economic Development.

Agencies provide intake service through home visits or by telephone for the physically infirm (i.e. elderly or disabled).

FSD website provides outreach through the LIHEAP web page @ <http://dss.mo.gov/fsd/energy-assistance/> . This web page also contains a link to the LIHEAP brochure.

The LIHEAP manager speaks at varied meetings/activities to share information regarding Missouri's LIHEAP.

8.5 LIHEAP Component Administration.	Heating	Cooling	Crisis	Weatherization
8.5a Who determines client eligibility?	Non-profits	Non-Applicable	Non-profits	Other
8.5b Who processes benefit payments to gas and electric vendors?	Non-profits	Non-Applicable	Non-profits	
8.5c who processes benefit payments to bulk fuel vendors?	Non-profits	Non-Applicable	Non-profits	
8.5d Who performs installation of weatherization measures?				Non-profits

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

8.6 What is your process for selecting local administering agencies?

Missouri contracts with the eighteen (18) CAA's and the Urban League of Metropolitan St. Louis. In the event a contract agency is unavailable or unable to provide services within a specific geographic area, DSS will select an appropriate non-profit community-based social service agency to administer the LIHEAP.

FFY 2019 DSS will issue a Notice for Funding Opportunity (NFO) for Clay, Jackson and Platte counties in Missouri. This NFO is being issued to solicit other potential non-profit providers for the Kansas City area.

8.7 How many local administering agencies do you use? 19

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

- Yes  
 No

8.9 If so, why?

<input type="checkbox"/>	Agency was in noncompliance with grantee requirements for LIHEAP -
<input type="checkbox"/>	Agency is under criminal investigation
<input type="checkbox"/>	Added agency
<input type="checkbox"/>	Agency closed
<input type="checkbox"/>	Other - describe

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

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

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES  
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#### Section 9: Energy Suppliers, 2605(b)(7) - Assurance 7

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

Heating  Yes  No

Cooling  Yes  No

Crisis  Yes  No

Are there exceptions?  Yes  No

If yes, Describe.

Direct payments to an applicant will only be made under the following conditions:

- The energy supplier has not signed a contractual agreement with the State of Missouri to participate in the LIHEAP.
- The energy supplier refuses to serve a particular account holder.
- The energy supplier fails to accept or deny the LIHEAP payment by the required thirty (30) calendar day deadline.
- The applicant's home energy heat cost is included as an undesignated portion of their regular monthly rental charge.
- The applicant pays a landlord for the home energy heat cost that is not included in their rental agreement.
- Cylinder propane is used as the home energy heat source.
- Kerosene is used as the home energy heat source.
- Wood/wood pellets/corn pellets are used as the home energy heat source.

In these circumstances, the applicant is responsible for making the payment and negotiating directly with the Energy Supplier to resolve their energy bill.

If there is a need for additional assistance when a crisis exists, the contract agency must work with the energy supplier to determine how much is needed to maintain or restore services for at least thirty (30) days up to a maximum of \$800 for Winter Crisis and \$300 for Summer Crisis. The energy supplier must have a contractual agreement with the Department of Social Services (DSS) or the contract agency in order to provide a payment to the Energy Supplier because direct payments will not be made to the applicant for Energy Crisis Intervention Program (ECIP) payments.

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

The Energy Assistance (EA) Eligibility Notice (EA-6) provides the client the amount of EA assistance paid to them directly or will be paid to the supplier. The EA-6 is mailed to the client when the application is determined eligible. Copies of the computer generated notification (EA-6) are included with the attachments to this state plan.

The Energy Assistance Payment Notice (EA-7) is mailed to the applicant after the payment is made to the supplier. It includes the date, amount of the payment, and the energy supplier paid. Copies of the computer generated notification (EA-7) are included with the attachments to this state plan.

When an ECIP payment is made to the energy supplier, the contract agency sends a client notification letter to the applicant which advises the applicant of the date, amount of payment, and name of the energy supplier.

##### 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?

The Low Income Home Energy Assistance Program (LIHEAP) Supplier Agreement between Missouri Department of Social Services, Family Support Division and Home Energy Supplier Agreement states the energy supplier, "Shall provide home energy fuels in the amount at least equivalent to the amount of pledge made by the State Agency on behalf of the eligible customer; restore and/or continue service during the service period covered by the payment for at least thirty (30) calendar days from the date of pledge made on behalf of the eligible customer for whom the Supplier has agreed to accept the LIHEAP pledge". In addition, states in part, "Shall credit, through normal billing process, the full amount of the LIHEAP payment received to an eligible customer's account".

A sample of the contracted energy suppliers is required to submit actual usage data on the previous year for every customer who receives a payment from LIHEAP.

A copy of the Low Income Home Energy Assistance Program (LIHEAP) Supplier Agreement between Missouri Department of Social Services, Family Support Division and Home Energy Supplier is included with the attachments to this state plan.

Requirements in this document exceed those specified in the statute and apply to all LIHEAP (EA and ECIP). A written agreement must be executed with energy suppliers prior to any payments being issued to them.

**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?**

The Low Income Home Energy Assistance Program (LIHEAP) Supplier Agreement between the Missouri Department of Social Services, Family Support Division and Home Energy Supplier Agreement states, "Shall not discriminate with regard to the terms or conditions of sale, availability of credit, delivery or price of home energy fuels offered to eligible customers in relation to its other residential customers".

Energy supplier complaints are referred to the Missouri Public Service Commission (PSC) for regulated suppliers and the Missouri Attorney General's Office (AGO) for unregulated suppliers.

**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.**

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

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

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

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

All expenditures of LIHEAP funds are made available under policy, procedures, rules and regulations by the Missouri Office of Administration, Department of Social Services, Division of Financial and Administrative Services and the Missouri Treasurer's Office. No expenditures for heating assistance payments for the Energy Assistance (EA) component of LIHEAP are made unless:

- The eligibility of the program participant has been established and updated to the centralized computer file, which performs numerous edits to validate the accuracy of the determination and determines the amount of assistance to be paid;
- The home energy supplier who is to receive payment on behalf of the household has entered into an agreement to participate in LIHEAP and has been added to the automated file of participating home energy suppliers; and
- The payment to be made to the home energy supplier or the eligible household has been prepared through our automated check writing system which performs numerous edits to assure the accuracy of the payment and the eligibility of the home energy supplier or household to receive the payment.

Funds provided to the contract agencies for the Energy Crisis Intervention Program (ECIP) component of LIHEAP are subject to the following conditions:

- No funds are released to a contract agency unless a signed written agreement which stipulates the purpose(s) for which those funds are expended, as well as several other conditions governing the expenditures of these funds;
- Contract agencies are required to submit monthly, as well as annual program/financial reports to document the expenditure of funds provided to them through LIHEAP;
- The State Auditor's Office audits the Family Support Division (FSD's) LIHEAP and makes the results of their audits available at <http://www.auditor.mo.gov>. These audits are scheduled and conducted by the State Auditor's Office (SAO) and are independent of DSS; and
- In accordance with Office of Management and Budget (OMB) Uniform Guidance Audits of States, Local Governments, and Non-Profit Organizations, each contract agency secures an external audit in order to comply with the Single Audit Act of 1984. Copies of these audit reports are provided to the Department of Social Services, Family Support Division, LIHEAP Unit, and Division of Finance and Administrative Services, Compliance Services Unit.

**Audit Process**

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

Yes  No

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

No Findings

Finding	Type	Brief Summary	Resolved?	Action Taken
1	monitoring	GHCAA: 001 Agency did not maintain advance payments of federal awards in interest bearing accounts.	In Progress	procedure/policy changes
2	monitoring	DAEOC: 001 Fixed asset listing did not include all required data elements.	In Progress	procedure/policy changes
3	monitoring	DAEOC: 002 Agency is not tracking interest earned on advanced federal funds.	In Progress	procedure/policy changes
4	monitoring	DAEOC: 003 Agency did not have an agency-wide budget for calendar year 2016 and at the time of the monitoring visit, did not have one for calendar year 2017.	In Progress	procedure/policy changes



5	monitoring	DAEOC: 004 Agency's manual had not been approved since November 22, 2010 while policy states it must be approved every two years. Agency's manual did not contain procurement policies. The manual they use that includes them had not been approved by the board which is a requirement in their policy. Agency's manual did not include details about open and free competition, sealed bid procurement, acquisition of unnecessary or duplicative items, or requests for proposal.	In Progress	procedure/policy changes
6	monitoring	DAEOC: 005 Agency did not stamp the date received on 5 of the 18 reviewed invoices which is required in their policy.	In Progress	training changes
7	monitoring	EMAA: 001 Agency's written conflict of interest policies and procedures are not in compliance with OMB guidelines.	Yes	procedure/policy changes
8	monitoring	EMAA: 002 Agency is not tracking interest earned on advanced federal funds.	In Progress	procedure/policy changes
9	monitoring	EMAA: 003 Agency's procurement policy does not include required steps to be taken when using procurement by sealed bid.	In Progress	procedure/policy changes
10	monitoring	EMAA: 004 Fixed asset listing did not include all required data elements,	Yes	procedure/policy changes
11	monitoring	EMAA: 005 Agency did not date stamp the date received on 5 of the 20 reviewed invoices which is required in their policy.	In Progress	procedure/policy changes
12	monitoring	EMAA: 006 Agency's written policies and procedures for procurement of professional services are not in compliance with OMB.	Yes	procedure/policy changes
13	monitoring	CAAGKC: 001 Three of the 13 bank reconciliations reviewed were not performed until January 2017. Policy states they will be processed within one week of receiving the bank statement.	In Progress	procedure/policy changes
14	monitoring	CAAGKC: 002 Agency did not have method of determining sub-recipient versus vendor agreements and did not follow procurement policies.	Yes	procedure/policy changes
15	monitoring	CAAGKC: 003 Agency paid an attorney to assist in a fraud case which is a disallowed cost.	Yes	procedure/policy changes
16	monitoring	CAAGKC: 004 Agency overpaid for Worlds of Fun tickets based upon actual attendance.	Yes	procedure/policy changes
17	monitoring	CAAGKC: 005 Agency did not provide documentation for quotes for expenditure for catering at a summer workshop, for scanners, for IT services, and for consulting fees.	Yes	procedure/policy changes
18	monitoring	CAAGKC: 006 Agency did not provide documentation showing allocation for travel and training costs associated with Executive Director, CFO, and HR Manager.	Yes	procedure/policy changes
19	monitoring	CAAGKC: 007 Agency charged \$138 of lobbying expenses to LIHEAP.	Yes	procedure/policy changes
20	monitoring	CAAGKC: 008 Agency does not have specific policies relating to coding conference attendance to ensure they can be identified with a specific award.	Yes	procedure/policy changes

21	monitoring	CAAGKC: 009 Agency provides food for business meetings totaling \$455. Must provide documentation that these are not considered fringe benefits.	Yes	procedure/policy changes
22	monitoring	CAAGKC: 010 ROMA expenses associated with CSBG were charged to LIHEAP.	Yes	procedure/policy changes
23	monitoring	CAAGKC: 011 Agency must confirm gift card purchases are only purchases for specific purposes and distributed timely.	Yes	procedure/policy changes
24	monitoring	CAAGKC: 012 Agency charged \$174,123 of LIHEAP admin expenses to CSBG. Agency must develop a method for distributing the expenses properly.	In Progress	training changes
25	other	CAAGKC: 013 Agency did not comply with all eligibility requirements.	In Progress	procedure/policy changes
26	reporting	WCMCAA: 001 One report out of the six tested was not submitted timely.	Yes	procedure/policy changes

**10.4. Audits of Local Administering Agencies**

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

- Local agencies/district offices are required to have an annual audit in compliance with Single Audit Act and OMB Circular A-133
- Local agencies/district offices are required to have an annual audit (other than A-133)
- Local agencies/district offices' A-133 or other independent audits are reviewed by 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.**

A copy of the Low Income Home Energy Assistance Program On-Site Monitoring guide is included as an attachment to this state plan.

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

**Site Visits:**

Missouri has nineteen (19) contract agencies. State staff performs on-site monitoring visits once every three (3) years. Special site visits are conducted prior to the three (3) year cycle when special circumstances exist.

**Desk Reviews:**

Missouri has nineteen (19) contract agencies. Grantee staff randomly select a sample of thirty (30) cases for review by each contract agency. The randomly selected cases are sent to each contract agency quarterly in order for each agency's management staff to review for compliance with policy, procedure, and time frames. At the end of each program year, agency management staff must submit the completed reviews of the thirty (30) selected cases. Grantee staff review five (5) of the thirty (30) cases to ensure accuracy of the completed case file reviews.

**10.8. How often is each local agency monitored ?**

Each contract agency is monitored on-site once every three (3) years on a rotating basis. Special site visits are conducted prior to the three (3) year cycle when special circumstances exist. Desk Reviews are completed annually at the end of each program year.

**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? 7**

**10.12. How many local agencies are currently on corrective action plans for financial accounting or administrative issues? 4**

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

**Section 11 - Timely and Meaningful Public Participation, , 2605(b)(12) - Assurance 12, 2605(c)(2)**

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**Section 11: Timely and Meaningful Public Participation, 2605(b)(12), 2605(C)(2)**

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

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

- The Committee to Keep Missourians Warm holds bi-monthly meetings which includes representation from the Department of Social Services, Department of Economic Development, Community Action and Non-Profit agencies, Public Service Commission, Public Service agencies, and energy providers;
- Feedback from LIHEAP customers through customer contact to discuss LIHEAP enhancements and changes;
- Notices emailed to Missouri Energy Vendors;
- Notices for a public hearing on July 16, 2018 were placed in the St. Louis Post Dispatch, Kansas City Star, Columbia Daily Tribune, and the Springfield News Leader;
- Notices posted on the bulletin boards at 615 Howerton Court, Jefferson City, Missouri;
- Notices emailed to the house and senates designated contact for dissemination to house and senate members;
- Notice were emailed to Office of Administration;
- Notice were distributed to the Public Service Commission (PSC) Consumer Division and Contract Agency Executive Directors; and
- Ongoing LIHEAP meetings with the Family Support Division (FSD) LIHEAP management and contracted LIHEAP providers to discuss the contracts, upcoming season requirements and policy.

**11.2 What changes did you make to your LIHEAP plan as a result of this participation?**  
 No changes.

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

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

	Date	Event Description
1	07/16/2018	James C Kirkpatrick State Information Center Jefferson City, MO 2:00p.m. to 3:00p.m.

**11.4. How many parties commented on your plan at the hearing(s)?** 1

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

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

No changes.

**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

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

12.1 How many fair hearings did the grantee have in the prior Federal fiscal year? 10

12.2 How many of those fair hearings resulted in the initial decision being reversed? 1

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

None.

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

All LIHEAP households are entitled to request a hearing when their application for LIHEAP services have been denied.

Hearings may be requested in person, in writing (including fax), or by telephone.

Hearings can be requested by the applicant, an authorized representative, friend, relative, or legal representative.

Hearing requests can only be denied by the Division of Legal Services (DLS) Administrative Hearings Unit (AHU).

Requests for hearing are forwarded to the DLS, AHU. DLS AHU schedules a hearing and notifies all parties by letter stating the hearing date and time of hearing. The hearing will be a telephone hearing unless the claimant (applicant) refuses a telephone hearing. If the claimant (applicant) refuses the telephone hearing, an in-person hearing will be conducted.

A representative from the contract agency having first-hand knowledge about the application for services, processing, and decision being heard should attend the hearing. If it is not possible for the representative to attend the hearing, it is recommended the LIHEAP Program Director attend in his/her place.

The final decision upon completion of the hearing rests with the Family Support Division (FSD) Director. The contract agency must follow the recommendation indicated in the hearing decision.

12.5 When and how are applicants informed of these rights?

The LIHEAP application notifies the applicant of their right to request a hearing when a case has been denied or not acted upon in a timely manner.

Energy Assistance (EA) and Energy Crisis Intervention Program (ECIP) households are also notified of hearing rights if the application is determined to be LIHEAP ineligible.

EA households are notified of their hearing rights via the Energy Assistance Notification (EA-6). The EA-6 states, "You have the right to request a fair hearing if you do not agree with this decision and you request the hearing within thirty (30) days after the date of this letter. If you request a fair hearing, you may present information yourself or you may be represented by your own attorney".

ECIP households are notified of their hearing rights in writing on the contract agency's denial letter which is sent by the contract agency. Hearings requested in relation to a decision regarding ECIP are also handled by the DLS AHU using the same procedures.

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

All LIHEAP households are entitled to request a hearing regarding timeliness in reference to their application(s) for services.

Hearings may be requested in person, in writing (including fax), or by telephone.

Hearings can be requested by the applicant, an authorized representative, friend, relative, or legal representative.

Hearing requests can only be denied by the Division of Legal Services (DLS) Administrative Hearings Unit (AHU).

Requests for hearings are forwarded to the DLS, AHU. DLS AHU schedules a hearing and notifies all parties by letter stating the hearing date and time of hearing. The hearing will be a telephone hearing unless the claimant (applicant) refuses a telephone hearing. If the claimant (applicant) refuses the telephone hearing, an in-person hearing will be conducted.

A representative from the contract agency having first-hand knowledge about the application for services, processing, and decision being heard should attend the hearing. If it is not possible for the representative to attend the hearing, it is recommended the LIHEAP Program Director attend in his/her place.

The final decision upon completion of the hearing rests with the Family Support Division (FSD) Director. The contract agency must follow the recommendation indicated in the hearing decision.

12.7 When and how are applicants informed of these rights?

The LIHEAP application notifies the applicant of their right to request a hearing when a case has been denied or not acted upon in a timely manner.

Energy Assistance (EA) and Energy Crisis Intervention Program (ECIP) households are also notified of hearing rights if the application is determined to be LIHEAP ineligible.

EA households are notified of their hearing rights via the Energy Assistance Notification (EA-6). The EA-6 states, "You have the right to request a fair hearing if you do not agree with this decision and you request the hearing within thirty (30) days after the date of this letter. If you request a fair hearing, you may present information yourself or you may be represented by your own attorney".

ECIP households are notified of their hearing rights in writing on the contract agency's denial letter which is sent by the contract agency. Hearings requested in relation to a decision regarding ECIP are also handled by the DLS AHU using the same procedures.

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

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

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

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

The State of Missouri Low Income Home Energy Assistance Program (LIHEAP) does not use LIHEAP funds for these services.

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

N/A

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

N/A

**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? N/A**

**13.6 How many households received these services? N/A**

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



## Section 14 - Leveraging Incentive Program ,2607A

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES  
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#### Section 14:Leveraging Incentive Program, 2607(A)

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

Yes  No

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

Letters are issued to utility suppliers asking them to identify non-federal assistance, that is, local public or private funds to support assistance to LIHEAP Households. This includes a request for the following information:

- Total amount of funds expended during the above periods to support utility assistance to LIHEAP eligible households;
- Eligibility criteria (income or other) used as the basis for distribution of these funds;
- Geographic area (counties) in which the funds were expended; and
- Number of households to whom this assistance was provided.

**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. Â§ 96.87(d)(2)(iii), describe the following:**

Resource	What is the type of resource or benefit ?	What is the source(s) of the resource ?	How will the resource be integrated and coordinated with LIHEAP?
1	Dollar More/Community Assistance	Ameren Missouri	Funds are donated by customers and or the energy supplier (through rate case decisions) and subsequently transferred to various nonprofit organizations who then allocate funds to Missouri's contract agencies. Funds are coordinated with the LIHEAP (EA and ECIP), and used to supplement LIHEAP funds for eligible households to provide additional financial assistance to households who have exhausted all LIHEAP benefits consistent with 45 CFR 96.87 (d) (2) (iii).
2	Dollar Help/Dollar More/Heat Up St. Louis and others charitable donations	Laclede Gas and Laclede Gas DBA Missouri Gas Energy	Funds are donated by customers and or energy suppliers (through rate case decisions) and subsequently transferred to various nonprofit organizations who then allocate funds to Missouri's contract agencies. Funds are coordinated with the LIHEAP (EA and ECIP) and used to supplement LIHEAP funds for eligible households to provide additional financial assistance to households who have exhausted all LIHEAP benefits consistent with 45 CFR 96.87 (d) (2) (iii).
3	Project Share	City Utilities of Springfield	Funds are donated by customers and or energy suppliers (through rate case decisions) and subsequently transferred to various nonprofit organizations who then allocate funds to Missouri's contract agencies. Funds are coordinated with the LIHEAP (EA and ECIP) and used to supplement LIHEAP funds for eligible households to provide additional financial assistance to households who have exhausted all LIHEAP benefits consistent with 45 CFR 96.87 (d) (2) (iii).
4	Deposit Waivers	Regulated Energy Suppliers	These suppliers work with LIHEAP households during the cold winter months (Cold Weather Rule) to help them maintain their services. In an effort to help assistance funding and customer contribution stretch to its fullest, some energy suppliers will waive deposit fees to connect, reconnect, or restore services.
5	Other Leveraging Resources	Customer or Charitable Organizations	Contributions are made and provided to energy suppliers. Additionally, leveraging resources include rate case funds provided by the energy supplier.
6	Clean Slate	Ameren Missouri	Funds help low-income customers who are at or below 135% of the federal poverty level get a fresh start in managing their overdue utility bills. The active customer pays 10% and Clean Slate funds pay 90%. The inactive customer pays 20% and Clean Slate funds pay 80%. The program is first offered to elderly and low-income disabled customers.

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

## Section 15 - Training

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#### Section 15: Training

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

**a. Grantee Staff:**

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

During onsite monitoring visits with the contract agencies, FSD conducts informal training based on the results of the participant's case file review findings. When possible, FSD has a meeting with the manager and staff to discuss findings.

**c. Vendors**

Formal training conference

How often?

Annually

Biannually

As needed

<input type="checkbox"/>	<b>Other - Describe:</b>
<input checked="" type="checkbox"/>	<b>Policies communicated through vendor agreements</b>
<input checked="" type="checkbox"/>	<b>Policies are outlined in a vendor manual</b>
<input checked="" type="checkbox"/>	<b>Other - Describe:</b> Vendors are offered training after signing a supplier agreement to become a participating supplier. Webinars are conducted to assist vendor staff with understanding the Customer Eligibility Listing (CEL) and payment processes. Grantee provides annual webinar for Vendors.
<b>15.2 Does your training program address fraud reporting and prevention?</b> <input checked="" type="radio"/> Yes <input type="radio"/> No	
<p style="color: red;">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.</p>	

## Section 16 - Performance Goals and Measures, 2605(b)

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES  
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#### 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.**

**FFY 2017 LIHEAP Performance Data Form completed sections: V. Energy Burden Targeting, VI. Restoration of Home Energy Services and VII. Prevention of Loss of Home Energy Services. FSD did not have electric data for natural gas and propane for the Energy Burden section.**

**FFY 2017 LIHEAP policy was changed to require agencies to record electric supplier as secondary energy source when natural gas or propane is primary energy source.**

**FFY 2018, FSD collected natural gas and propane fuel sources along with secondary electric data.**

**FFY 2019, FSD will continue to collect natural gas and propane fuel sources along with secondary electric data. To assist in gathering secondary electric data, FSD developed two reports: 1) Statewide Missing Secondary Supplier and 2) Agencies Missing Secondary Supplier. These reports are for contract agencies and FSD's use to identify missing data so it may be obtained and reported on the Performance Management Form.**

**As a result of data obtained through performance measures reporting, Missouri is increasing LIHEAP EA benefit amounts. This increase does not have an effect on Missouri's estimated Funding Allocation. EA benefits are increasing 10% for households below 75% of the federal poverty level and increasing 5% for households over 75% of the federal poverty level.**

**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)

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

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

##### 17.1 Fraud Reporting Mechanisms

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

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

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

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

The LIHEAP application includes the following, "When you pay your heating or cooling bill, send it to the utility company that sent you the bill, not to the LIHEAP agency. LIHEAP agencies will only process your application. They will never accept utility payments, fees, or co-payments."

The LIHEAP contract between Missouri Department of Social Services (DSS)/Family Support Division (FSD) and LIHEAP contractors has an entire section titled, Fraud and/or Abuse that includes the following:

- Requires contractors to conduct background checks on potential and current employees.
- Contractor shall report to the DSS, Division of Legal Services (DLS) any financial fraud or abuse misconduct in the administration of LIHEAP no later than forty-eight (48) hours from the time the contractor determines there is suspicion or a report of financial fraud or abuse or misconduct has occurred by calling 877-770-8055 or by email at [DLS.ReportFraud@dss.mo.gov](mailto:DLS.ReportFraud@dss.mo.gov). The contractors will fully cooperate with all DLS investigations of suspected fraud and abuse or misconduct.
- The contractor may be prosecuted under applicable federal and/or state law for false claims, statements or documents or concealment of material fact.

The LIHEAP Supplier Agreement between DSS/FSD and Home Energy Supplier contains an entire section titled, "Fraud Prevention and Reporting" which advises the Energy Supplier how to report suspected issues of fraud as well as making the Energy Supplier aware of the consequences they would face if they concealed any confidential information at their disposal.

The LIHEAP Policy and Procedures Manual includes information regarding Reporting LIHEAP Fraud and Reporting Department of Social Services Fraud to Other Programs.

##### 17.2. Identification Documentation Requirements

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

Type of Identification Collected	Collected from Whom?		
	Applicant Only	All Adults in Household	All Household Members
	Required	Required	Required

Social Security Card is photocopied and retained	<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>	
	<input type="checkbox"/>	Requested	<input type="checkbox"/>	Requested	<input checked="" type="checkbox"/>	Requested
Social Security Number (Without actual Card)	<input type="checkbox"/>	Required	<input type="checkbox"/>	Required	<input checked="" type="checkbox"/>	Required
	<input type="checkbox"/>	Requested	<input type="checkbox"/>	Requested	<input type="checkbox"/>	Requested
Government-issued identification card (i.e.: driver's license, state ID, Tribal ID, passport, etc.)	<input type="checkbox"/>	Required	<input type="checkbox"/>	Required	<input type="checkbox"/>	Required
	<input type="checkbox"/>	Requested	<input type="checkbox"/>	Requested	<input checked="" type="checkbox"/>	Requested

	Other	Applicant Only Required	Applicant Only Requested	All Adults in Household Required	All Adults in Household Requested	All Household Members Required	All Household Members Requested
1		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**b. Describe any exceptions to the above policies.**

Any household member that does not have a Social Security Number (SSN) must be advised to access [www.socialsecurity.gov/ssnumber](http://www.socialsecurity.gov/ssnumber) to apply for or replace one through the Social Security Administration. Once the application for a SSN has been documented, a pseudo number for that household member can be assigned. Documentation will consist of a signed and dated statement or SS-5 from the Social Security website or a Receipt for a Social Security Number (SSA-5028). The applicant must be advised to provide the statement, SSA-5028 or copy where it must be retained in the case record. The applicant must be advised to report the assigned Social Security Number once it is received. If the applicant does not provide documentation within the specified time frame, the application will be denied.

There are two exceptions to this requirement:

- 1) If the household member applied for or is receiving Income Maintenance (IM) services
- 2) If the household member is one year of age or younger from the month prior to the date of the application.

**17.3 Identification Verification**

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

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

Other - Describe:

Identification documents are verified on-site when the applicant or household member(s) visit the contract agency who serves the county in which the applicant resides.

Two reports are generated and resolved by LIHEAP staff:

1. FEABB320-01 LIHEAP Date of Death Report. A tape match runs against the Social Security Administration (SSA) death inquiry database and identifies applicants or household members on a LIHEAP case who are deceased; allowing payments to be suspended and cases to be resolved in an attempt to prevent payments going to households with a deceased applicant or household member. This tape match and report are generated and reviewed weekly.

2. FEABB807-01 Unverified SSN Report. A tape match runs against the Social Security Administration (SSA) database to determine if the name, date of birth, and social security number agree with SSA records. This tape match and report are generated and reviewed weekly in an attempt to ensure the identity of all individuals claimed in a LIHEAP household.

<b>17.4. Citizenship/Legal Residency Verification</b>
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.
<input checked="" type="checkbox"/> Clients sign an attestation of citizenship or legal residency
<input type="checkbox"/> Client's submission of Social Security cards is accepted as proof of legal residency
<input checked="" type="checkbox"/> Noncitizens must provide documentation of immigration status
<input type="checkbox"/> Citizens must provide a copy of their birth certificate, naturalization papers, or passport
<input type="checkbox"/> Noncitizens are verified through the SAVE system
<input type="checkbox"/> Tribal members are verified through Tribal enrollment records/Tribal ID card
<input checked="" type="checkbox"/> Other - Describe:  The State of Missouri's current eligibility system, FAMIS, contains application information from the Food Stamp Program and may also be used to verify whether a household member is considered a Legal Permanent Resident or whether they are excluded from the Food Stamp case for reason, "Citizenship".
<b>17.5. Income Verification</b>
What methods does your agency utilize to verify household income? Select all that apply.
<input checked="" type="checkbox"/> Require documentation of income for all adult household members
<input checked="" type="checkbox"/> Pay stubs
<input checked="" type="checkbox"/> Social Security award letters
<input checked="" type="checkbox"/> Bank statements
<input checked="" type="checkbox"/> Tax statements
<input type="checkbox"/> Zero-income statements
<input checked="" type="checkbox"/> Unemployment Insurance letters
<input checked="" type="checkbox"/> Other - Describe:  Household income is verified by: <ul style="list-style-type: none"> <li>• Verbal verification from a current or past employer. (Verification must be documented in the case file.)</li> <li>• Employee wage documentation report.</li> <li>• Statement from employer with current date.</li> <li>• Income maintenance payroll information.</li> <li>• Copy of benefit check.</li> <li>• Child Support payment records.</li> <li>• Rent records.</li> <li>• Contracts.</li> <li>• Signed and dated statement from tenant or cancelled checks.</li> <li>• Zero-income statement if entire household has no income.</li> <li>• 1040 Federal Income Tax return.</li> </ul>
<input checked="" type="checkbox"/> Computer data matches:
<input checked="" type="checkbox"/> Income information matched against state computer system (e.g., SNAP, TANF)
<input checked="" type="checkbox"/> Proof of unemployment benefits verified with state Department of Labor
<input checked="" type="checkbox"/> Social Security income verified with SSA
<input type="checkbox"/> Utilize state directory of new hires
<input type="checkbox"/> Other - Describe:
<b>17.6. Protection of Privacy and Confidentiality</b>
Describe the financial and operating controls in place to protect client information against improper use or disclosure. Select all that apply.

<input checked="" type="checkbox"/> Policy in place prohibiting release of information without written consent
<input checked="" type="checkbox"/> Grantee LIHEAP database includes privacy/confidentiality safeguards
<input checked="" type="checkbox"/> Employee training on confidentiality for:
<input checked="" type="checkbox"/> Grantee employees
<input checked="" type="checkbox"/> Local agencies/district offices
<input checked="" type="checkbox"/> Employees must sign confidentiality agreement
<input checked="" type="checkbox"/> Grantee employees
<input checked="" type="checkbox"/> Local agencies/district offices
<input checked="" type="checkbox"/> Physical files are stored in a secure location
<input checked="" type="checkbox"/> Other - Describe: State policies to protect client information: <ul style="list-style-type: none"> <li>• Logging off the system prior to leaving work station.</li> <li>• Paying attention to who can see your computer screens and what information is being displayed.</li> <li>• Pick up printed records immediately from network printers.</li> <li>• Do not leave records unattended on desks.</li> <li>• Enclose paperwork in a folder, file and lock the drawer it is kept in.</li> <li>• Use Departmental Client Numbers (DCN) instead of Social Security Number for emails or any internet transmission.</li> <li>• Encryption is required when any email is sent which contains confidential information.</li> <li>• Never share passwords.</li> <li>• System timeouts for periods of inactivity.</li> <li>• Shredding confidential information that is being discarded.</li> <li>• Safe at Home (SAH) program available through the Secretary of State's Office for survivors of sexual assault, rape, stalking, and domestic violence. SAH provides an assigned address for mail. This mail is then sent to the member(s) from the Secretary of State's Office.</li> <li>• Confidential information provided only to those household members.</li> <li>• Information may be released to a limited amount of people such as State Legislators, Personal Representatives or Advocates.</li> </ul> <p>In addition to the above the LIHEAP system masks SSN's by only allowing the last four (4) of the SSN to be visible at any given time on each LIHEAP screen. All LIHEAP reports that are generated and distributed to the nineteen (19) contract agencies mask the SSN by only allowing the last four (4) of the SSN to be visible.</p> <p>A Release of Information form to be signed by the applicant is required before any information is released to any requesting party.</p> <p>LIHEAP agency contracts include Information Security Management Requirements.</p>

17.7. Verifying the Authenticity

What policies are in place for verifying vendor authenticity? Select all that apply.

<input checked="" type="checkbox"/> All vendors must register with the State/Tribe.
<input checked="" type="checkbox"/> All vendors must supply a valid SSN or TIN/W-9 form
<input checked="" type="checkbox"/> Vendors are verified through energy bills provided by the household
<input type="checkbox"/> Grantee and/or local agencies/district offices perform physical monitoring of vendors
<input checked="" type="checkbox"/> Other - Describe and note any exceptions to policies above: Policies/process for vendor authenticity: <ul style="list-style-type: none"> <li>• The DSS/FSD and Home Energy Supplier Agreement contains an entire section titled, "Debarment Certification" which certifies that the Supplier is not presently debarred, suspended, proposed for debarment, declared ineligible, voluntarily excluded from participation, or otherwise excluded from or ineligible for participation under federal assistance programs.</li> <li>• Grantee staff access the State of Missouri Secretary of State - Business Entity Search website at <a href="https://www.sos.mo.gov/records">https://www.sos.mo.gov/records</a> (Select Business Services, then Business Search from the drop down box) to verify the authenticity of every participating home energy supplier who has submitted a Home Energy Supplier Agreement. Copies of these verifications are placed in the home energy supplier files.</li> </ul>



**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:

To protect against fraud, the LIHEAP Eligibility Energy Assistance (EA) System includes online transactions to standardize addresses with United States Postal Service verification program Code One Plus to prevent duplicate address from receiving more than one EA payment for the same household for a different fuel source. In addition, staff are not allowed to proceed with application processing until they determine that a duplicate address issue does not exist. If the case does not have a duplicate address issue, the manager may override the system and provide an explanation in the LIHEAP Case Notes (E1CN) screen.

Centralized computer system/database tracks payments to all utilities

Centralized computer system automatically generates benefit level

Separation of duties between intake and payment approval

Payments coordinated among other energy assistance programs to avoid duplication of payments

Payments to utilities and invoices from utilities are reviewed for accuracy

Computer databases are periodically reviewed to verify accuracy and timeliness of payments made to utilities

Direct payment to households are made in limited cases only

Procedures are in place to require prompt refunds from utilities in cases of account closure

Vendor agreements specify requirements selected above, and provide enforcement mechanism

Other - Describe:

**17.9. Benefits Policy - Bulk Fuel Vendors**

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

Vendors are checked against an approved vendors list

Centralized computer system/database is used to track payments to all vendors

Clients are relied on for reports of non-delivery or partial delivery

Two-party checks are issued naming client and vendor

Direct payment to households are made in limited cases only

Vendors are only paid once they provide a delivery receipt signed by the client

Conduct monitoring of bulk fuel vendors

Bulk fuel vendors are required to submit reports to the Grantee

Vendor agreements specify requirements selected above, and provide enforcement mechanism

Other - Describe:

**17.10. Investigations and Prosecutions**

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

Refer to state Inspector General

Refer to local prosecutor or state Attorney General

<input type="checkbox"/>	Refer to US DHHS Inspector General (including referral to OIG hotline)
<input checked="" type="checkbox"/>	Local agencies/district offices or Grantee conduct investigation of fraud complaints from public
<input checked="" type="checkbox"/>	<p>Grantee attempts collection of improper payments. If so, describe the recoupment process</p> <p>For potential client fraud, notification is sent to the clients of overpayments. The client has ninety (90) days to either sign a repayment agreement or request a hearing. If FSD receives no response, the overpayment is entered into the Claims and Restitution System (CARS). The amount is added to the computer system and an offset is set up against any future Energy Assistance (EA) payments.</p> <p>For agencies or employees that commit fraud, the FSD and DSS Welfare Investigator will conduct onsite and case review monitoring and interviews to determine if victims need to be referred to their local prosecuting attorney. The onsite monitoring may reveal systemic agency issues that need to be corrected.</p> <p>Claims of home energy supplier fraud are referred to state Attorney General Office Consumer Protection hotline.</p>
<input type="checkbox"/>	Clients found to have committed fraud are banned from LIHEAP assistance. For how long is a household banned?
<input checked="" type="checkbox"/>	Contracts with local agencies require that employees found to have committed fraud are reprimanded and/or terminated
<input checked="" type="checkbox"/>	Vendors found to have committed fraud may no longer participate in LIHEAP
<input type="checkbox"/>	Other - Describe:
<p>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.</p>	

**Section 18: Certification Regarding Debarment, Suspension, and Other Responsibility Matters**

**Section 18: Certification Regarding Debarment, Suspension, and Other Responsibility Matters**

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

Instructions for Certification

- 1. By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.**
- 2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.**
- 3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.**
- 4. The prospective primary participant shall provide immediate written notice to the department or agency to which this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.**
- 5. The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.**
- 6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.**

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

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

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

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

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

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

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

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

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

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

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

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

##### Instructions for Certification

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

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

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

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

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

**6. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled ``Certification Regarding Debarment,**

**Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.**

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

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

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

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

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

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

**By checking this box, the prospective primary participant is providing the certification set out above.**

## Section 19: Certification Regarding Drug-Free Workplace Requirements

### Section 19: Certification Regarding Drug-Free Workplace Requirements

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

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

- 1. By signing and/or submitting this application or grant agreement, the grantee is providing the certification set out below.**
- 2. The certification set out below is a material representation of fact upon which reliance is placed when the agency awards the grant. If it is later determined that the grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.**
- 3. For grantees other than individuals, Alternate I applies.**
- 4. For grantees who are individuals, Alternate II applies.**
- 5. Workplaces under grants, for grantees other than individuals, need not be identified on the certification. If known, they may be identified in the grant application. If the grantee does not identify the workplaces at the time of application, or upon award, if there is no application, the grantee must keep the identity of the workplace(s) on file in its office and make the information available for Federal inspection. Failure to identify all known workplaces constitutes a violation of the grantee's drug-free workplace requirements.**
- 6. Workplace identifications must include the actual address of buildings (or parts of buildings) or other sites where work under the grant takes place. Categorical descriptions may be used (e.g., all vehicles of a mass transit authority or State highway department while in operation, State employees in each local unemployment office, performers in concert halls or radio studios).**
- 7. If the workplace identified to the agency changes during the performance of the grant, the grantee shall inform the agency of the change(s), if it previously**

identified the workplaces in question (see paragraph five).

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

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

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

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

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

#### Certification Regarding Drug-Free Workplace Requirements

Alternate I. (Grantees Other Than Individuals)

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

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an ongoing drug-free awareness program to inform employees about --

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs;

and

**(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;**

**c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);**



(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will --

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency in writing, within ten calendar days after receiving notice under paragraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under paragraph (d)(2), with respect to any employee who is so convicted -(1)

Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f).

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

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

State of Missouri Department of Social Services Energy Assistance Unit

**\* Address Line 1**

615 Howerton Court  
**Address Line 2**

PO Box 2320  
**Address Line 3**

Jefferson City  
**\* City**

Missouri  
**\* State**

65102-2320  
**\* Zip Code**

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

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

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

(b) If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, he or she will report the conviction, in writing, within 10 calendar days of the conviction, to every grant officer or other

**designee, unless the Federal agency designates a central point for the receipt of such notices. When notice is made to such a central point, it shall include the identification number(s) of each affected grant.**

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

**By checking this box, the prospective primary participant is providing the certification set out above.**

## Section 20: Certification Regarding Lobbying

### Section 20: Certification Regarding Lobbying

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

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

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

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

#### Statement for Loan Guarantees and Loan Insurance

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

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any

**person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.**

**By checking this box, the prospective primary participant is providing the certification set out above.**

## Assurances

### Assurances

**(1) use the funds available under this title to--**

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

**(B) intervene in energy crisis situations;**

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

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

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

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

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

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

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

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

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

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

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

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

**(3) conduct outreach activities designed to assure that eligible households, especially households with elderly individuals or disabled individuals, or both, and households with high home energy burdens, are made aware of the assistance available under this title, and any similar energy-related assistance available under subtitle B of title VI (relating to community services block grant program) or under any other provision of law which carries out programs which were administered under the Economic Opportunity Act of 1964 before the date of the enactment of this Act;(4) coordinate its activities under this title with similar and related programs administered by the Federal Government and such State, particularly low-income energy-related programs under subtitle B of title VI (relating to community services block grant program), under the supplemental security income program, under part A of title IV of the Social Security Act, under title XX of the Social Security Act, under the low-income weatherization assistance program under title IV of the Energy Conservation and Production Act, or under any other provision of law which carries out programs which were administered under the Economic Opportunity Act of 1964 before the date of the enactment of this Act;(5) provide, in a timely manner, that the highest level of assistance will be furnished to those households which have the lowest incomes and the highest energy costs or needs in relation to income, taking into account family size, except that the State may not differentiate in implementing this section between the households described in clauses 2(A) and 2(B) of this subsection;**

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

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

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

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

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

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

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

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

**(8) provide assurances that,**

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

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

**(9) provide that--**

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

**(B) the State will pay from non-Federal sources the remaining costs of planning**

and administering the program assisted under this title and will not use Federal funds for such remaining cost (except for the costs of the activities described in paragraph (16));

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

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

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

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

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

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

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

(16) use up to 5 percent of such funds, at its option, to provide services that encourage and enable households to reduce their home energy needs and thereby the need for energy assistance, including needs assessments, counseling, and assistance with



energy vendors, and report to the Secretary concerning the impact of such activities on the number of households served, the level of direct benefits provided to those households, and the number of households that remain unserved.

## Plan Attachments

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