COMMONWEALTH OF PENNSYLVANIA

LOW-INCOME HOME ENERGY ASSISTANCE PROGRAM

FISCAL YEAR 2017

FINAL STATE PLAN

TOM WOLF
GOVERNOR
Commonwealth of Pennsylvania

THEODORE DALLAS
SECRETARY
Department of Human Services

PUB **223**

THE MISSION OF THE DEPARTMENT OF HUMAN SERVICES

Our mission is to improve the quality of life

for Pennsylvania's individuals and families.

We promote opportunities for independence

through services and supports while demonstrating

accountability for taxpayer resources.

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COMMONWEALTH OF PENNSYLVANIA
LOW-INCOME HOME ENERGY ASSISTANCE PROGRAM
Fiscal Year 2016 Final State Plan

INTRODUCTION

The Department of Human Services (DHS) adopts the commonwealth's Final State Plan for the Federal Fiscal Year 2017 (FY 2017) Low-Income Home Energy Assistance Program (LIHEAP), in accordance with the Low-Income Home Energy Assistance Act of 1981 (Title XXVI of Pub. L. 97-35, the Omnibus Budget Reconciliation Act of 1981, 42 U.S.C. Section 8621 et seq.) as amended by the Human Services Reauthorization Act of 1984 (Pub. L. 98-558), the Human Services Reauthorization Act of 1986 (Pub. L. 99-425), the Augustus F. Hawkins Human Services Reauthorization Act of 1990 (Pub. L. 101-501), the National Institutes of Health Revitalization Act of 1993 (Pub. L. 103-43), the Low-Income Home Energy Amendments of 1994 (Pub. L. 103-552), the Coats Human Services Reauthorization Act of 1998 (Pub. L. 105-285), and the Energy Policy Act of 2005 (Pub. L. 109-58).

LIHEAP is a federally-funded program which enables the state to help low-income households meet their home heating needs.

LIHEAP is administered by DHS and consists of three components: cash benefits to help eligible low-income households pay for their home-heating fuel; crisis payments, if needed, to resolve weather-related, supply shortage, and other household energy-related emergencies; and energy conservation and weatherization measures to address long-range solutions to the home-heating problems of low-income households. Energy conservation and weatherization services and certain related crisis payments are provided by the Department of Community and Economic Development (DCED), under its Weatherization Assistance Program in compliance with the Department of Energy and the Title XXVI requirements.

LIHEAP FEDERAL FUNDING

President Obama's FY 2017 budget request was released on February 9, 2016. The budget proposes to fund the FY 2017 LIHEAP at $3 billion in block grant funds with $769 million in emergency contingency funds. Pennsylvania's share of the block grant is estimated to be $176.9 million. Continuing Appropriations Act, 2016 (P.L. 114-53) and the Consolidated Appropriations Act, 2016 (P.L. 114-113) established LIHEAP funding at $3.39 billion for FY 2016, of which Pennsylvania received $202.4 million. Of these two estimates, DHS will be using the estimate based on the prior year's Congressional budget since the passage of the Appropriations bill offers security that funding will not decrease.

There are no State Energy Conservation Act funds (ECAF) allocated for program year 2016-17. DHS anticipates carrying forward a balance of $14 million. This results in a total budget of $216.4 million. Fifteen percent of the block grant will be allocated to

DCED for the Weatherization Assistance Program and up to 10 percent of the block grant will be allocated for administrative costs, leaving an adjusted minimum total of $165.8 million available for LIHEAP benefits.

PUBLIC COMMENT

In addition to soliciting advice from the LIHEAP Advisory Committee (LAC), DHS held public hearings on the LIHEAP proposed Plan for Fiscal Year (FY) 2017 in compliance with Federal LIHEAP requirements. This year, hearings were held in Philadelphia (July 5), Harrisburg (July 7), and Pittsburgh (July 12). A total of 24 persons attended the hearings: 13 in Philadelphia; six in Harrisburg; and five in Pittsburgh. A total of 12 individuals or organizations provided oral testimony at the hearings and 10 individuals or organizations presented written mail-in testimony. LAC recommendations and all other comments and testimony were taken into consideration in developing program parameters for the Final State Plan.

PROGRAM PARAMETERS

The FY 2017 LIHEAP parameters include:

- an opening date of November 1, 2016, and closing date of March 31, 2017, for the Cash and Crisis components;
- the income eligibility limit will be set at 150 percent of the Federal Poverty Income Guidelines (FPIGs);
- a minimum Cash benefit of $200;
- a maximum Cash benefit of $1,000;
- a minimum Crisis benefit of $25;
- a maximum Crisis benefit of $500.
- a supplemental Cash benefit will be issued to vulnerable households who qualify for a LIHEAP Cash grant. A vulnerable household is defined as a household containing at least one member who is elderly (age sixty or over), an individual with a disability, or age five and under. The age of the household members is determined by their age at the time their LIHEAP Cash application is processed.

  Supplemental payments will be issued cumulatively, based upon the composition of the household, in the following amounts:

  -$50 if the household contains someone age 60 or over

-$50 if the household contains an individual with a disability
-$75 if the household contains a child age 5 or under

A household can only receive one of each type, and households meeting all three criteria above can receive a maximum supplement of $175. An individual can only be counted for one criterion.

- In addition to the LIHEAP Cash and Crisis, DHS will operate a separate Turn-on program to assist LIHEAP eligible households who are without heat or in danger of being without heat. This program will provide assistance with utility terminations and minimum fuel deliveries prior to the FY 2018 LIHEAP program year, subject to the availability of funds.

Program Year

Based on anticipated available funding for benefits and administrative costs, DHS proposes to open the Cash and Crisis components on November 1, 2016 with a closing date of March 31, 2017. As in past years, DHS may extend or shorten the program year, depending on the availability of funds.

Prior to the Cash program opening date, DHS will mail applications or a postcard directing people to apply online to persons who received LIHEAP benefits in the 2015-2016 program year.

Comment:

Public hearing testimony supported various recommendations for program extension. Two testifiers supported a year-round program and three testifiers recommended that specific funding be set aside for Crisis after the winter moratorium. One testifier recommended that Pennsylvania operate a summer cooling program.

Three testifiers supported operating the Cash and the regular Crisis component concurrently. Two testifiers requested an opening date in October for both components to allow for fuel delivery and reconnection of utility service going into the heating season.

Four testifiers supported an opening date for both components on November 1, 2016. One testifier recommended having consistent program start and end dates each year.

Nine testifiers requested the program closing date for both components be moved to April 30, 2017. One testifier requested the program closing date be moved to May 1, 2017. Two testifiers requested the programs not close until after the winter moratorium.

One testifier requested that the Crisis program remain open until all funds are exhausted.

Seven testifiers requested that Pennsylvania eliminate carryover funding by expending all 2016-17 funds during the season. Six testifiers requested that the program seek additional funding in the form of a state supplement to the federal funding.

Four testifiers recommended that DHS do enhanced outreach to ensure that as many eligible individuals apply as possible.

Three testifiers recommended wider publication of the Proposed State Plan to encourage greater public participation. One testifier supported the early application period for prior LIHEAP recipients. Two testifiers suggested increasing accessibility to application sites for the public.

Response:

The proposed program dates were determined by expenditure projections, based on anticipated funding and traditional expenditure patterns, and represent the maximum length for which the program can be sustained. Therefore, the program dates will remain as proposed, with the FY 2017 Cash and Crisis components opening on November 1, 2016, with a closing date of March 31, 2017.

If the Federal appropriation changes significantly, DHS will adjust the program operating dates as necessary.

Income Eligibility Guidelines

Based on anticipated funding, DHS proposed a maximum income eligibility limit of 150 percent of the FPIGs for the FY 2017 LIHEAP. The income limits for FY 2017 will be based on the FPIG levels published on January 25, 2016, by the Department of Health and Human Services in the Federal Register.

Comment:

Two testifiers supported maintaining the income limits at 150 percent of the FPIG.

One testifier suggested increasing the income limit to include more Pennsylvanians in the program. One testifier requested that DHS raise the eligibility limits to 175 percent of the FPIG. One testifier requested that DHS raise the eligibility limits to 200 percent of the FPIG.

Response:

DHS will maintain the income eligibility limit at 150 percent of the FPIG. The income limits for FY 2016 and FY 2017 are listed below:

Household Size	FY 2016 Income Limit 150%	FY 2017 Income Limit 150%
1	$17,655	$ 17,820
2	23,895	24,030
3	30,135	30,240
4	36,375	36,450
5	42,615	42,660
6	48,855	48,870
7	55,095	55,095
8	61,335	61,335
9	67,575	67,575
10	73,815	73,815
For each additional person add:	$ 6,240	$ 6,240

Cash Program

The Cash component provides cash payments to help eligible low-income households pay the costs of home heating. The amount of a LIHEAP Cash benefit is based on the following household factors at the time of application: household size, household income, heating region, and fuel type.

Comment:

One testifier recommended factoring housing costs into the determination of LIHEAP grants.

One testifier suggested the income of ineligible household members should be excluded from the eligibility determination. Two testifiers suggested excluding all loans as countable income.

One testifier recommended that a roomer not be required to have an existing agreement in writing.

One testifier recommended an individual should not be considered ineligible based on them fleeing prosecution.

One testifier requested DHS create an automatic enrollment program based on information already collected from other DHS programs. One testifier suggested collecting information from other Agencies to auto enroll individuals.

Response:

Adding a factor such as housing cost to the LIHEAP benefit calculation would complicate the application process for households who are not receiving other benefits that require the information and would increase the burden on the household to verify this information.

DHS excludes ineligible household members while counting their income in accordance with federal guidance.

DHS will not require that a roomer agreement exist in writing prior to an application, but can request written verification from the property owner or landlord.

DHS will exclude all loans as countable income for LIHEAP.

LIHEAP is consistent with other DHS programs which consider applicants who are fleeing from law enforcement to be ineligible for benefits.

Due to different criteria that are used to determine a “household” between all the different programs DHS administers, we are not offering an automatic enrollment program at this time.

Minimum Cash Benefit

DHS proposed to set the minimum Cash component benefit at $200.

Comment:

Eleven testifiers supported the minimum Cash grant benefit level of $200.

Two testifiers recommended increasing the minimum Cash grant to $300.

Response:

Based on anticipated federal funding, DHS has made the decision to set the minimum Cash benefit at $200.

Maximum Cash Benefit

DHS proposed to set the maximum Cash component benefit at $1000.

Comment:

One testifier recommended increasing the Cash maximum to $1500. Five testifiers recommended raising the Cash maximum when raising the minimum benefit to ensure households with lower incomes are receiving the most benefit.

Response:

Based on anticipated federal funding and fuel prices, DHS has made the decision to set the maximum Cash benefit at $1000.

Crisis Program

Households may apply for and, if eligible, receive regular Crisis benefits regardless of whether they apply for or receive a LIHEAP Cash benefit. To qualify for a Crisis benefit, a household must be without heat or in imminent danger of being without heat because of a weather-related or energy-supply-shortage emergency.

Comment:

Eight testifiers recommended that Crisis policy be changed to state that a termination notice from a utility is always sufficient proof of a crisis. Three testifiers recommended eliminating the burden to clients and vendors of verifying a crisis. Two testifiers suggested a more simplified process to apply for Crisis benefits.

Two testifiers recommended that DHS should require utilities to restore service when offered a LIHEAP Crisis grant. Two testifiers recommended all Crisis benefits be paid up front, not as a reimbursement, as is the procedure in some instances. One testifier also suggested more data regarding LIHEAP Crisis be available for review.

One testifier suggested allowing Crisis to be used before Cash. One testifier suggested that the way approved Cash benefits are used to resolve a crisis be explained to clients when they apply.

Response:

To qualify for Crisis, a household shall be without heat or in imminent danger of being without heat because of a weather-related or energy-supply-shortage emergency. Since utility companies cannot shut off service without PUC approval until April 1 because of the moratorium, a termination notice during the winter moratorium is not considered proof the household is in imminent danger of being without heat.

The procedures for applying for Crisis are in place to provide timely assistance to applicants while also preventing waste, fraud, and abuse of the commonwealth's LIHEAP funds.

Minimum Crisis Benefit

DHS proposed to set the minimum Crisis component benefit at $25.

Comment:

Response:

No comments were made regarding setting the minimum Crisis component benefit at $25.

Maximum Crisis Benefit

DHS proposed to maintain the maximum Crisis component benefit at $500.

Comment:

Three testifiers supported maintaining the amount of the maximum Crisis grant at $500.

One testifier recommended raising the maximum Crisis benefit to $750.

Response:

Based on anticipated Federal funding, DHS has made the decision to set the maximum Crisis component benefit at $500.

Application of Cash Benefits

Public utilities that operate a Customer Assistance Plan (CAP) will apply the LIHEAP Cash component benefits only to the customer's monthly 'Asked to Pay' amount. No LIHEAP funds may be applied to CAP customers' pre-program arrearages or actual usage amounts.

Comment:

Two testifiers suggested allowing for a minimum monthly 'Asked to Pay' amount to remain after the application of LIHEAP benefits. They recommended allowing LIHEAP benefits to be applied incrementally each month.

Two testifiers recommended initiating a CAP Plus program. One Testifier suggested a policy prohibiting a CAP Plus program.

One testifier recommended that DHS share client information with utilities to help enroll LIHEAP clients in CAP programs.

Response:

The purpose of LIHEAP is to help low income households meet their home heating needs. The LIHEAP federal statute, regulations, and Pennsylvania's approved state plan require that LIHEAP funds be applied in full to the account of those households determined LIHEAP eligible. Utility companies must apply LIHEAP Cash grants only to the "Asked to Pay" amount the CAP customer is required to pay. Further

discussion with LIHEAP stakeholders will be forthcoming to consider alternative models which may comply with federal standards.

Proposed Policy Clarification 1

A supplemental cash benefit will be issued to vulnerable households who qualify for a LIHEAP Cash grant. A vulnerable household is defined as a household containing at least one member who is elderly (age 60 or over), an individual with a disability, or age 5 and under. The age of the household members is determined by their age at the time their LIHEAP cash application is processed. Supplemental payments will be issued cumulatively, based upon the composition of the household, in the following amounts:

- $50 if the household contains someone age 60 or over
- $50 if the household contains an individual with a disability
- $75 if the household contains a child age 5 or under

A household can only receive one of each type, and households meeting all three criteria above can receive a maximum supplement of $175. An individual can only be counted for one criterion.

Comment:

Three testifiers supported the issuance of supplemental benefits. One testifier recommended eliminating the issuance of supplemental benefits. One testifier requested additional notification be provided of eligibility for supplemental benefits.

Two testifiers suggested issuing different supplemental benefit amounts based upon a household's income. One testifier suggested allowing an individual to qualify for more than one supplemental benefit. One testifier requested supplemental benefits be approved on an individual level as opposed to a household qualifying for only one supplement under each criterion.

Three testifiers recommended that DHS expand the definition of vulnerable households and disabled individuals beyond the proposed policy. One testifier also recommended that DHS determine a household vulnerable if it meets one of the criteria at any point during the LIHEAP season as opposed to when an application is submitted.

Response:

The LIHEAP statute specifically refers to vulnerable populations including very young children, individuals with disabilities, and frail older individuals as bearing a unique energy burden. The LIHEAP Cash grant is already determined by a household's income; therefore the supplemental benefit will direct additional assistance to LIHEAP recipients who face additional hardship.

Proposed Policy Clarification 2

An individual with a disability is anyone receiving financial assistance for a disability or eligible for Medical Assistance (MA) through DHS due to a disability.

Comment:

Three testifiers recommended that DHS expand the definition of vulnerable households and disabled individuals beyond the proposed policy. It was suggested that vulnerable populations be expanded to include, in part, victims of domestic violence and households with the lowest income. It was suggested that disabled individuals include recipients of Supplemental Nutrition Assistance Program (SNAP), and Temporary Assistance for Needy Families (TANF) who have been verified as disabled for those programs.

Response:

DHS will continue to follow the statutory meaning of vulnerable populations.

The proposed disability definition is a significant expansion of what was previously used in LIHEAP determinations. LIHEAP will now use disability information verified for other DHS programs and no longer requires the receipt of financial assistance. Recipients who have been verified as disabled for TANF are included in the proposed definition because they would otherwise be eligible for MA if it were not included as part of their TANF benefits. The disability documentation requirements of SNAP are currently less rigorous than for other programs so those recipients will not be considered disabled unless they have also been verified for MA or TANF.

Proposed Policy Clarification 3

DHS will operate a separate Turn-on program to assist LIHEAP eligible households who are without heat or in danger of being without heat. This program will provide assistance to them with utility terminations and minimum fuel deliveries prior to the FY 2018 LIHEAP program year, subject to the availability of funds.

Comment:

One testifier recommended the Turn-on program be open to the public and not take away from other LIHEAP benefits.

One testifier suggested increased communication with vendors regarding Turn-on.

Three testifiers recommended including a clause on the application to allow venders to accept additional benefits on behalf of the household.

Response:

Subject to the availability of funds, DHS will operate the Turn-on program prior to the FY 2018 program year. Assisting these households prior to the start of the LIHEAP season alleviates a potential influx of Crisis applications early in the season and also allows Crisis funds to be available later in the season. The program is not open to public application because the issuance takes place after the season has closed using eligibility information from the previous program year.

Heat and Eat Initiative

To enhance participation and benefits for households enrolled in the Supplemental Nutrition Assistance Program (SNAP), DHS will continue to issue a heating assistance benefit to SNAP households that are responsible for heating costs and have not already been approved for LIHEAP during the current program year. SNAP applicants or recipients who are homeless or living in institutions are not eligible to receive the heating assistance benefit.

Per federal SNAP regulation, receipt of a heating assistance benefit, regardless of the amount of the benefit, enables SNAP recipients to maximize the SNAP Standard Utility Allowance (SUA). Households receiving the heating assistance benefit that are recipients of SNAP will receive the highest SNAP SUA. Using the highest allowable SUA in the SNAP benefit calculation may significantly increase SNAP benefits for many households. The annual heating assistance benefit will qualify the household for the maximum SNAP SUA for the current federal fiscal year.

Comment:

No comments were made about the Heat and Eat Initiative.

Weatherization Transfer

The amount of funds allocated to DCED for the Weatherization Assistance Program will be 15 percent of Pennsylvania's federal LIHEAP block grant allocation.

Comment:

Eight testifiers supported transferring the full 15 percent of the LIHEAP block grant allocation to DCED.

Five testifiers suggested fewer funds be allocated to DCED for Weatherization One testifier recommended an increase in funding to Weatherization.

One testifier stated that the Crisis Interface Project should allow applicants to have irreparable furnaces or boilers replaced by a natural gas heater.

Two testifiers requested the creation of a statewide Weatherization Plus Health

pilot program. One testifier requested more information regarding Weatherization statistics be included in the state plan.

Response:

For FY 2017, DHS will transfer 15 percent of LIHEAP funds to DCED for the Weatherization Assistance Program as is mandated by state law. In accordance with federal guidance, LIHEAP weatherization funds will only be used for measures that directly contribute to increasing a household's energy efficiency.

DEPARTMENT OF HUMAN SERVICES & DEPARTMENT OF COMMUNITY AND ECONOMIC DEVELOPMENT CRISIS INTERFACE PROJECT

The DHS/DCED Crisis Interface Project, implemented with the FY 1993 program year, will continue.

Under this LIHEAP crisis program integration, a portion of the LIHEAP funds allocated for weatherization will be used to alleviate specific LIHEAP crises. The following types of crises are included: furnace replacement; the repair of a heating system; the repair of gas or other fuel lines; the replacement of an unrepairable heating system; the repair of broken windows (if any of the other repairs are being completed); and pipe-thawing services. Specific DCED responsibilities include addressing the crisis situation within 48 hours, or 18 hours if the situation is considered to be life-threatening or health-threatening.

LIHEAP households with weather-related emergencies will be eligible to receive more expensive types of services provided through the Crisis Interface Project. Specifically, an average of $6,500 is available to a household for weatherization services.

Applicants must apply through their CAOs or Crisis contractor, where applicable, who is then responsible for determining LIHEAP eligibility and for identification of the type of crisis and service needed. At this point, DHS will either take steps to directly alleviate the crisis, or will refer the crisis to the local weatherization office for resolution. This will include a home visit for an evaluation as to the service needed to resolve the crisis and an assessment for weatherization services, if not previously provided.

Comment:

Two testifiers recommended that broken windows alone should qualify as a weatherization crisis.

One testifier suggested Weatherization should minimize steps that require the applicant's presence to reduce interference with the applicant's other obligations. One testifier requested backup Weatherization contractors be available for timeliness in completing Weatherization work.

Response:

DCED’s procedures and guidelines were established to have the best interests of both recipients and Crisis contractors in mind. Any issues with timeliness were addressed at that time and are not ongoing.

THE LOW-INCOME HOME ENERGY ASSISTANCE PROGRAM

FY 2017 STATE PLAN

ASSURANCES

The Governor of Pennsylvania has authorized the Secretary of Human Services to apply and reapply for federal funds under the Low-Income Home Energy Assistance Program (42 U.S.C. Section 8621 et seq.), and to develop, approve and submit to the Federal government all State Plans and other related documents as may be necessary for the Commonwealth to obtain available funds to administer the program.

In accordance with the Low-Income Home Energy Assistance Act of 1981 (the Act) (Pub. L. 97-35), as amended by the Human Services Reauthorization Act of 1984 (Pub. L. 98-558), the Human Services Reauthorization Act of 1986 (Pub. L. 99-425), the Augustus F. Hawkins Human Services Reauthorization Act of 1990 (Pub. L. 101-501), the National Institutes of Health Revitalization Act of 1993 (Pub. L. 103-43), the Low-Income Home Energy Assistance Amendments of 1994 (Pub. L. 103-252), the Coats Human Services Reauthorization Act of 1998 (Pub. L. 105-285), and the Energy Policy Act of 2005 (Pub. L. 109-58), the Commonwealth of Pennsylvania, through its Department of Human Services (DHS), submits this State Plan for operating the cash and crisis components of LIHEAP and will carry out the federal requirements contained in Section 2605(b) of the Act as amended.

1. Allotment of Funds

In accordance with Pub. L. 97-35, Section 2605(c)(1)(C), as amended, Pennsylvania will use the available funds to assist eligible households to meet the costs of home heating energy and will make payments only as specified.

The projected budget, based on percentages, is:

Cash program	up to 45 percent of available funds
Crisis program	up to 30 percent of available funds
Weatherization	15 percent of available funds
Administrative and planning costs	up to 10 percent of available funds

Adjustments within the maximums will be made as needed, but will not exceed 100 percent of available funds.

2. Eligible Households

In accordance with Pub. L. 97-35, Section 2605(b)(2), as amended, Pennsylvania will make payments to, or on behalf of, households whose gross annual incomes are equal or less than the established percentage of the poverty level for the FY 2017 program, based on the Federal Poverty Income Guidelines published on January 25, 2016 by the U. S. Department of Health and Human Services (DHHS).

Income limits for households to qualify for LIHEAP cash, crisis, and weatherization benefits are as follows:

Household Size	Cash & Crisis 150 Percent of FPIG	Weatherization 200 Percent of FPIG
1	$ 17,820	$23,760
2	24,030	32,040
3	30,240	40,320
4	36,450	48,600
5	42,660	56,880
6	48,870	65,160
7	55,095	73,460
8	61,335	81,780
9	67,575	90,100
10	73,815	98,420
For each additional person add:		
	$ 6,240	$ 8,320

3. Public Education

In accordance with Pub. L. 97-35, Section 2605(b)(3), as amended, Pennsylvania will conduct public education activities to assure that eligible households, especially the elderly and disabled, and households with high home energy burdens are aware of assistance available under this Plan and that all applicant households have geographic access to application sites. Funds will be designated for public education activities as determined appropriate by the Secretary of DHS.

Pennsylvania will inform individuals, groups, and families about LIHEAP through mass mailings, notices to the media, brochures, posters, and through voluntary and religious organizations.

Additional public education activities will include the following:

- Provision of reproducible public education materials to utility companies and fuel vendors, upon request, for use in such ways as bill messages.

- Applications with return, pre-stamped envelopes mailed to homebound individuals who need help in applying for benefits.

- Provision of applications for LIHEAP benefits to utility companies, fuel vendors, and community-based agencies, such as Area Agencies on Aging and Community Action Agencies, for distribution to prospective LIHEAP applicants.

- Provision of publicity materials to the Area Agencies on Aging directly and through the Department of Aging to inform the elderly population of LIHEAP benefits and requirements.

- Provision of information to persons with disabilities about the availability of energy-related assistance from advocacy groups working on their behalf.

- Provision of public education materials in Spanish. Translation services are available in Chinese, Vietnamese, Russian, Cambodian and other languages.

- Provision of brochures, which describe LIHEAP benefits and requirements to County Assistance Offices (CAOs) for distribution to public assistance applicants and recipients.

- Provision of publicity materials to other state and local government offices.

- Provision for the most effective use of statewide and local resources in the public education effort through maximum use of appropriate agencies and networks.

4. Coordination with Other Energy-Related Programs

In accordance with Pub. L. 97-35, Section 2605(b)(4), as amended, Pennsylvania has coordinated the planning process for the development of the State Plan with the following agencies:

- The Department of Community and Economic Development (DCED), which is the designated agency for weatherization programs under Title IV of the Energy Conservation and Production Act;

- The Department of Aging;

- Agencies represented on the LIHEAP Advisory Committee (LAC), including the American Association of Retired Persons, Pennsylvania Council on Aging, Community Legal Services, DCED, Pennsylvania Utility Law Project, Utility Emergency Services Fund, $1 Energy Fund, Energy Coordinating Agency, Community Action Association of Pennsylvania, County Welfare Rights Representatives, Office of Consumer Advocate, Pennsylvania Petroleum Marketers & Convenience Store Association, Energy Association of Pennsylvania, Pennsylvania Rural Electric Association, Public Utility Commission (PUC), and the Allegheny County Department of Human Services.

5. Highest Benefits to Neediest Households

In accordance with Pub. L. 97-35, Section 2605(b)(5), as amended, Pennsylvania will provide, in a timely manner, that the highest level of assistance will be furnished to those households that have the lowest income and the highest energy costs in relation to income, taking into account household size, fuel type, and heating region. For weatherization services and the resolution of crises, the specific needs and the cost of such needs are considered in determining the level of assistance. Pennsylvania will not differentiate between households with incomes that do not exceed the established percent of the poverty level for the FY 2017 program and households in which one or more individuals are receiving Temporary Assistance for Needy Families, Supplemental Security Income, Supplemental Nutrition Assistance Program, or payments under Section 306 of the Veterans' and Survivors' Pension Improvement Act of 1978.

6. Participation of Local Administering Agencies

In accordance with Pub. L. 97-35, Section 2605(b)(6), Pennsylvania has designated local administrative agencies to carry out the provisions of this Plan and has given special consideration to local agencies that were receiving Federal funds under any low-income energy assistance or weatherization program. Pennsylvania has determined that the designated agencies meet program and fiscal requirements established by the State.

DHS administers the provision of cash benefits and its outreach efforts, with the exception of specialized outreach to the elderly to be performed by the Department of Aging.

DHS administers its energy crisis component; utilizing CAOs, Community Action Agencies, and other local agencies with experience in managing energy crisis programs under the Low-Income Home Energy Assistance Act of 1981, or with experience in assisting low-income individuals and the capacity to undertake a timely and effective energy crisis intervention program.

7. Home Energy Suppliers' Requirements

In accordance with Pub. L. 97-35, Section 2605(b)(7), as amended, Pennsylvania will pay LIHEAP benefits for eligible households directly to home energy suppliers, except when a supplier refuses to participate or a supplier has been removed from the list of participating vendors.

Pennsylvania will make payments only to those home energy suppliers who sign a standard vendor agreement. **EXCEPTION:** Occasionally a vendor will provide service one time only. In these instances, DHS will attempt to secure a signed agreement. However, payment will not be made until after crisis service has been rendered.

8. Equitable Treatment of Renters and Owners

In accordance with Pub. L. 97-35, Section 2605(b)(8), as amended, Pennsylvania will treat owners and renters equitably. The application requirements for cash, crisis and weatherization benefits apply equally to both owners and renters and will not be limited to the categorically eligible.

9. Administrative and Planning Costs

In accordance with Pub. L. 97-35, Section 2605(b)(9), as amended, Pennsylvania's total estimated planning and administrative costs will not exceed 10 percent of the total LIHEAP funding appropriated, of which none will be transferred to any other block grant. Any administrative and planning costs in excess of 10 percent of Pennsylvania's total allocation, should they be incurred, would be paid from non-Federal sources.

Pennsylvania is defining any costs associated with system-related upgrades and enhancements as programs costs and not administrative costs. Therefore, any system-related expenditures would not be counted toward the ten percent allotted for administrative costs. Pennsylvania will not spend more than two percent of the total LIHEAP funding appropriated for system upgrades and enhancements.

10. Monitoring and Audit

In accordance with Pub. L. 97-35, Section 2605(b)(10), as amended, Pennsylvania will provide fiscal control and fund accounting procedures as necessary to assure the proper disbursement of funds, which includes monitoring payments and an annual audit of Pennsylvania's expenditures.

Application Monitoring Procedures: All applications approved at the local agency level and forwarded for payment will be submitted for all computerized eligibility checks before payment is made.

The computerized checking process includes:

a. Check for duplicate Social Security Numbers in existing DHS systems;

b. Verify Social Security Numbers, Social Security benefit amounts, and death information through data exchange with the Social Security Administration;

c. Verify Supplemental Security Income payments through the State Data Exchange (SDX);

d. Check for criminal information on all household members through data exchange with the Commonwealth Judicial Information System

e. Check tax information concerning earned or unearned income through data exchange with the Internal Revenue Service;

f. Check on family size and income;

g. Check for cash payment above $1,000;

h. Check for crisis payment below $25;

i. Check for total crisis payment above $500;

j. Determination of payment;

k. All fields must contain acceptable established elements (characters or numbers);

l. All required fields must be completed.

Agency Monitoring Procedures: The first step of the agency's monitoring strategy begins at the County Assistance Office (CAO) and Processing Center (PC).

- Agency staff members, involved in determining LIHEAP eligibility are mandated to participate in weekly Knowledge Reinforcement Sessions. Each LIHEAP Knowledge Reinforcement Session (LKRS) is 6 to 7 slides in length with 5 questions which must be answered correctly in order to complete the session. The sessions reinforce policy and procedural issues that are error prone based on monitoring findings.

- Agency supervisors complete reviews of LIHEAP applications using a review tool designed to guide the reviewer and accumulate meaningful

statewide results. Agency Supervisors and Managers as well as staff in the Bureau of Program Evaluation (BPE) and their selected contractor monitor the results of the supervisor reviews to identify trends and implement corrective actions.

- Two telephone conferences, referred to as Friday calls, are held initially weekly then biweekly to provide the counties with real-time system, policy and operational updates that impact the LIHEAP workflow. The calls also provide a means for agency offices to get answers to questions or resolutions to issues encountered.

- Both the agencies and the monitoring staff communicate with the Policy team through the LIHEAP Training and Policy mailbox to address questions and issues on a daily basis as they arise. The shared responses ensure a uniform interpretation and consistent application of regulations throughout the agency.

For the second step of the agency's monitoring, BPE coordinates the annual LIHEAP monitoring reviews of CAOs, PCs, and Crisis Contractors based on a two-year schedule for the CAOs. Additional agencies are reviewed as needed based on extenuating circumstances and the recommendation of the Bureau of Operations. LIHEAP reviews are completed by a field-based monitoring team. Monitoring activities include:

- Evaluation of eligibility and benefit determination and corrective action implementation through LIHEAP application reviews and on-site visits.

- Evaluation of crisis interface through DCED local agencies.

- Selection of over 2,600 LIHEAP applications which are randomly selected through data mining techniques. Also selected is a statistically valid random sample. The number of cases selected is consistent for each year of review.

- The use of independent audit agency reviews to reduce potential bias in the monitoring process.

- Investigation and appropriate and timely escalation of information that suggests potential misuse, misrepresentation, or abuse.

- Issuance of preliminary and updated performance reports to agencies to provide relevant data on accuracy and the composition of findings at both the county level and state level.

- Development of corrective action plans based on the findings from the monitoring team. The plans are implemented by OIM and monitored for compliance by BPE.

- Development and implementation of year-round program changes to increase program accuracy and integrity through collaboration with other bureaus. Examples include working with Staff Development in the development of LIHEAP training for the next LIHEAP season to incorporate situations found to be prone to error.

- Development and implementation of special testing to ensure compliance with anticipated federal policy revisions.

Additional monitoring procedures include the following:

- Bureau of Financial Operations provides OIM with technical assistance and conducts performance audits of specific CAOs and crisis contractors, as needed, to resolve systemic problems.

- Controls are built into the PROMISe™ system which vendors use to bill for LIHEAP Crisis claims to ensure the vendors bill for valid Crisis requests and are paid the amount they are authorized to receive.

- The vendor unit assists heating vendors by answering questions, helping to file Crisis claims in PROMISe™, and reviewing vendor transactions.

- Executive Staff from the Bureaus of Policy, Program Support, and Program Evaluation meet on a weekly basis to discuss LIHEAP and all issues and topics pertinent to the program.

- Bureau of Policy reviews a list of direct pay authorizations every Friday to ensure that the budgets are being authorized correctly and accurately.

- The Comptroller's Office reviews the weekly LIHEAP vouchers for any questionable payments and works with OIM to ensure all payments issued to households are correct.

Audit Procedures: Pennsylvania agrees, in accordance with Pub. L. 97-35, Section 2605(e), as amended, to a financial and compliance audit by an independent agent annually, according to the Comptroller General's standards.

A copy of the audit will be submitted within 30 days after completion of the audit to the Governor, the General Assembly, and the Secretary of DHHS. The audit report will also be made available to the public on a timely basis.

11. Federal Investigation

In accordance with Pub. L. 97-35, Section 2605(b)(11), Pennsylvania will permit and cooperate with Federal investigations undertaken in accordance with Pub. L. 97-35, Section 2608.

12. Public Participation

In accordance with Pub. L. 97-35, Section 2605(b)(12), as amended, Pennsylvania provided for timely and meaningful public participation in the development of the Plan as follows:

- A notice was published in several Pennsylvania newspapers announcing the public hearings schedule and the availability of the proposed Plan for public comment. This information was also posted on the DHS website.

- The LAC advised the Secretary of DHS on the administration of the LIHEAP block grant, including a review of the proposed Plan and recommendations on the final Plan. Members of the Advisory Committee are appointed by the Secretary of DHS and represent consumer and advocacy interests, service providers, fuel associations, and other concerned citizens of the Commonwealth.

- Area Agencies on Aging, legal services groups, fuel and utility associations, community action agencies, and members of the LAC are made aware of the availability of the proposed and final Plans on the DHS website. In addition, copies of the Plan are available upon written request to Director, Division of Federal Programs and Program Management, Department of Human Services, DGS Annex, Room 224, Willow Oak Building, 1006 Hemlock Drive, Harrisburg, PA 17110.

- In accordance with Pub. L. 97-35, Section 2605(a)(2), public hearings on the FY 2017 LIHEAP proposed State Plan were held as follows:

Date: July 5, 2016
Time: 10:00 A.M. – 12:00 Noon
Place: Philadelphia County Assistance Office Headquarters
Betsy Ross Conference Room, 6th Floor
801 Market Street
Philadelphia, PA

Date: July 7, 2016
Time: 10:00 A.M. – 12:00 Noon
Place: Health & Welfare Building
Room 129, 1st Floor
625 Forster Street
Harrisburg, PA

Date: July 12, 2016
Time: 10:00 A.M. – 12:00 Noon.
Place: Piatt Place
Room 3023, 3rd Floor
301 5th Avenue
Pittsburgh, PA

- In addition to the opportunity for the public to comment on the LIHEAP weatherization component through DHS's LIHEAP public hearings, The DCED public hearing on the FY 2016-17 Department of Energy State Plan provides an opportunity for the public to participate in a timely and meaningful manner. It was held at 3:00 P.M. on April 11, 2016, in Hearing Room 3, Commonwealth Keystone Building, Harrisburg, PA.

In developing the proposed and final Plans, DHS considers all public comments, both written and oral, on the program.

13. Fair Hearing

In accordance with Pub. L. 97-35, Section 2605(b)(13), Pennsylvania will provide an opportunity for an administrative fair hearing for applicants who believe that decisions regarding their eligibility for LIHEAP benefits are either inaccurate or unreasonably delayed.

The fair hearing process is more fully described under Appendix B, Determination of Eligibility for LIHEAP Cash and Crisis Benefits.

The fair hearing requirements for weatherization benefits are found in Appendix C.

14. Data Collection and Reporting

In accordance with Pub. L. 97-35, Section 2605(b)(14), Pennsylvania will cooperate with the Secretary of the Department of Health and Human Services with respect to data collection and reporting under Section 2610.

15. Additional Outreach and Intake Sites

In accordance with Pub. L. 97-35, Section 2605(b)(15), as amended, Pennsylvania will provide outreach and intake for heating and crisis assistance through additional State and local governmental entities, and through community-based organizations such as not-for-profit neighborhood-based organizations, Area Agencies on Aging, and community action agencies.

16. Reduction of Home Energy Needs/Need for Energy Assistance

In accordance with Pub. L. 97-35, Section 2605(b) as amended by Title III of the Health and Human Services Amendments of 1994, Pub. L. 103-252, Pennsylvania chooses not to exercise its option to use up to five percent of its allotment to provide services that encourage and enable households to reduce their home energy needs and thereby the need for energy assistance. The funds will be used for LIHEAP benefits to families.

17. Energy Crisis Assistance

In accordance with Pub. L. 97-35, Section 2604(c), as amended, based on previous years' experience, Pennsylvania will reserve a reasonable amount of available LIHEAP funds until March 15, 2017 for energy crisis assistance.

Any unused balance of reserved crisis funds will be used to provide LIHEAP benefits for clients, except that a small amount may be reserved for start-up of the next year's program.

A household may receive more than one crisis payment during the program year, subject to the maximum and minimum amounts for FY 2017 and the availability of federal funds.

18. Nondiscrimination

In accordance with Pub. L. 97-35, Section 2606(a), Pennsylvania will:

- Not exclude from LIHEAP participation, deny LIHEAP benefits to, nor discriminate in any aspect of LIHEAP administration against any person on the basis of age, sex, race, color, religion, national ancestry or origin, handicap, or political belief.

- Comply with the provisions of Title VI of the Civil Rights Act of 1964, the Age Discrimination Act of 1975, Section 504 of the Rehabilitation Act of 1973, and the Pennsylvania Human Relations Act of 1955, as amended.

19. Confidentiality

All information about a LIHEAP applicant or recipient is confidential and may be disclosed only for purposes of investigating or prosecuting suspected fraud or abuse, cooperating with authorities regarding LIHEAP audits or investigations, fulfilling federal data reporting requirements, or, with the consent of the applicant, for purposes of providing assistance related to home heating.

20. Program Year

The opening date of the program establishes the official start date for accepting walk-in or new applications. However, program activities occur both before and after the dates for accepting applications. These include start-up activities, the processing of mail-out applications, and activities to close out the prior year's program. Expenditures for these activities are charged to the program year to which the costs relate. DHS may anticipate receipt of federal funds by advancing state funds for program operation, which will be reimbursed once federal funds are received.

21. Emergency Contingency Allocation

Utility companies regulated by the PUC may not terminate service to low-income households from December 1 through March 31 without the approval of the PUC.

22. Leveraged Resources

Pennsylvania will apply for leveraging incentive funds for resources leveraged in FY 2016 - in accordance with Pub. L. 97-35, Section 2607 (a), 42 U.S.C. §8626, as amended - under the leveraging incentive program. Any leveraging incentive grant award will be used to maintain or increase benefits to low-income households as part of the Commonwealth's LIHEAP. Pennsylvania's LIHEAP is based on the availability of the various benefits provided with leveraged resources. Pennsylvania's LIHEAP and the benefits provided with leveraged resources are coordinated and provided in cooperation and conjunction with each other. The following leveraged resources are used to provide the described benefits to households with incomes that do not exceed 150 percent of the Federal Poverty Income Guidelines. They are categorized by the criterion, as defined by DHHS, under which eligibility was established.

To be counted under the leveraging incentive program, resources and benefits must meet at least one of the following three conditions which state, in part:

i. LIHEAP had an active substantive role in developing the process.

ii. Resources are mandated for distribution through LIHEAP.

iii. Resources are appropriated or mandated for distribution under the LIHEAP State Plan to low-income households. They are not provided to

low-income households as a part of (through or within) LIHEAP, but are a supplement and/or alternative to the LIHEAP.

To facilitate comprehension, specificity regarding individual resources, sources, etc., is provided in the chart following the narrative description. Note that Pennsylvania's leveraging resources meet criteria conditions ii & iii.

CRITERION ii

Resources appropriated or mandated through the LIHEAP State Plan

The benefit from the resource is a part of a household's LIHEAP benefit, not an additional benefit that is not part of the LIHEAP program.

CRITERION iii

Resources appropriated or mandated under the LIHEAP State Plan

Resources are appropriated or mandated for distribution under the LIHEAP State Plan to low-income households. They are not provided to low-income households as a part of (through or within) LIHEAP, but are a supplement and/or alternative to the LIHEAP.

They are coordinated and integrated with LIHEAP.

CRITERION iii A

For all households served by the resource, the assistance provided by the resource depends on, and is determined by, the household's receipt of LIHEAP benefits. The resource supplements LIHEAP benefits that were not sufficient to meet the household's home energy needs and the amount of assistance provided by the resource is directly affected by the LIHEAP benefits received by the household.

CRITERION iii B

Receipt of LIHEAP assistance in the base period is necessary to receive assistance from the resource.

CRITERION iii D

Discount/credit for monthly billing and arrearage forgiveness

Various utilities provide customer assistance plans (CAPs) that offer reduced customer billing and/or arrearage forgiveness to LIHEAP-eligible households, those who have received LIHEAP benefits and those who meet federal eligibility standards according to Pub. L. 97-35, Section 2605(b)(2), 42 U.S.C. §8624 (b) (2). Funding sources for CAPs include residential tariff rates, ratepayers, and rate-based revenues.

Waived late payment charges, security deposit fees, and reconnection fees

The contract entered into by all vendors mandates the suspension of late payment charges for LIHEAP recipients. Although the waiver of late payment charges, security deposits or reconnection fees is not required, payment of security deposits or late payment charges with LIHEAP funds is prohibited. As a result of this policy and LAC involvement, some utilities waive such fees for LIHEAP recipients.

CRITERION iii E

Cash grants/utility credits for LIHEAP recipients to assist in the payment of: home heating costs; the repair of home heating equipment and/or excavation costs to repair gas lines; and home weatherization materials and installation

Resources include private and utility fuel funds, social service agencies, and utility companies. Funding sources include: various utility funds such as utility shareholder funds, contributions from churches, individuals, corporations, private organizations, and Department of Aging/Human Services Development Funds (non-federal). Payments supplement LIHEAP benefits, providing assistance for home heating expenses that are not covered under LIHEAP or in excess of the LIHEAP grant amounts. The Energy Association of Pennsylvania, PUC, client advocacy representatives, and representatives from major private fuel funds serve as members of the LAC, which works closely with DHS in the development and implementation of the LIHEAP. LIHEAP administrators at the local level interact with administrators of area utilities, social service agencies, and private fuel funds to coordinate and consolidate efforts, including reciprocal identification/referral of eligible applicants and confirmation of eligibility, for distribution of funds.

Income-in-kind for donated supplies

Heating-system materials and supplies donated by building and supply companies are provided to LIHEAP recipients. The agency administering the resource operates the LIHEAP crisis component, under contract with DHS, in the region.

CRITERION iii G

The resource accepts referrals from the grantee's LIHEAP program and, as long as the resource has benefits available, it provides assistance to all households that are referred by the LIHEAP program and that meet the resource's eligibility requirements.

Some rural electric cooperatives and social service agencies, upon referral from LIHEAP program staff, issue cash payments on LIHEAP recipients' home heating bills as long as funds are available. The source of funds includes cooperative member and director contributions, utility matching funds, and United Way funds.

LEVERAGING RESOURCES

Resource #	Name	Criterion	Resource(s)	Source(s)
1	West Penn Power - Customer Assistance Program (CAP)	iiiD	Arrearage forgiveness and reduced monthly payment	West Penn Power funds
2	West Penn Power - Waived Late Payment Charges	iiiD	Waiver of late payment charges	West Penn Power funds
3	West Penn Power - Waived Security Deposits	iiiD	Waiver of security deposits	West Penn Power funds
4	Columbia Gas - CAP	iiiD	Reduced billing and arrearage forgiveness	Rate based revenues
5	Columbia Gas - Waived Security Deposits	iiiD	Waiver of security deposits	Rate based revenues
6	Columbia Gas - Waived Reconnect Fees	iiiD	Waiver of reconnection fees	Rate based revenues
7	Dollar Energy Fund, Inc.	iiiE	Cash payments to utility companies	Utility company shareholder funds and utility customer contributions
8	Peoples Natural Gas (Peoples & Equitable Divisions) - CAP	iiiD	Reduced monthly payment and arrearage forgiveness	Utility Rider
9	Peoples Natural Gas (Peoples & Equitable Divisions) - Waived Late Payment Charges	iiiD	Waiver of late payment charges	Utility Ratepayers
10	Peoples Natural Gas (Peoples & Equitable Divisions) - Waived Security Deposits	iiiD	Waiver of security deposits	Utility Ratepayers
11	Duquesne Light - CAP	iiiD	Reduced payments and arrearage forgiveness	Duquesne Light revenues
12	Duquesne Light - Dollar Energy Fund Match	iiiE	Cash payments toward energy bills	Duquesne Light revenues and fundraising efforts
13	Duquesne Light - Waived Late Payment Charges	iiiD	Waiver of late payment charges	Duquesne Light funds
14	Duquesne Light - Waived Security Deposits	iiiD	Waiver of security deposits	Duquesne Light funds
15	Peoples Natural Gas Equitable Division - Furnace & Energy-Related Home Repairs	iiiE	Supplemental payments for repair/replacement of defective heating equipment or gas lines	Peoples Natural Gas Equitable Division residential hardship fund
16	Low-Income Usage Reduction Programs (LIURP)	iiiE	Cash payments for acquisition & installation of weatherization materials	Utility company rates
17	Metropolitan Edison - First Energy- CAP	iiiD	Arrearage forgiveness and reduced billing	Rate based revenues
18	Metropolitan Edison - First Energy- Hardship Fund	iiiE	Cash payments toward energy bills	Metropolitan Edison, customer, and employee donations

LEVERAGING RESOURCES

Resource #	Name	Criterion	Resource(s)	Source(s)
19	Metropolitan Edison – First Energy- Waived Late Payment Charges	iiiD	Waiver of late payment charges	Metropolitan Edison funds
20	National Fuel - Low-Income Residential Assistance Rate	iiiD	Arrearage forgiveness and reduced billing	National Fuel funds
21	National Fuel - Neighbor for Neighbor Heat Fund	iiiE	Cash payments on home heating bills	National Fuel customers, stockholders, and employees
22	National Fuel - Waived Late Payment Charges	iiiD	Waiver of late payment charges	National Fuel funds
23	National Fuel - Waived Security Deposits	iiiD	Waiver of security deposits	National Fuel funds
24	PECO - CAP	iiiD	Arrearage forgiveness and reduced monthly payment	Utility rate base
25	PECO - Matching Energy Assistance Fund (MEAF)	iiiE	Cash payment on delinquent accounts to avoid termination	Customer contributions, agency funds, and shareholder match
26	PECO - Waived Late Payment Charges	iiiD	Waiver of late payment charges	PECO funds
27	PECO - Waived Deposit Charges	iiiD	Waiver of deposit charges	PECO funds
28	PENELEC-First Energy - CAP	iiiD	Arrearage forgiveness and reduced monthly payment	PENELEC rate base
29	PENELEC-First Energy - Hardship Fund	iiiE	Cash payments toward energy bills	PENELEC, customer, and employee donations
30	PENELEC-First Energy - Waived Late Payment Charges	iiiD	Waiver of late payment charges	PENELEC funds
31	Penn Power –First Energy-CAP	iiiD	Reduced monthly payment	Penn Power rate base
32	Penn Power –First Energy-REACH Hardship Fund	iiiE	Payments on past due bills	Penn Power, customer, and employee donations
33	Penn Power –First Energy - Waived Late Payment Charges	iiiD	Waiver of late payment charges	Penn Power funds
34	UGI Penn Natural Gas - CAP	iiiD	Arrearage forgiveness and affordable payments for low-income customers based on percentage of income and average bill	UGI Penn Natural Gas residential rates
35	UGI Penn Natural Gas - Waived Late Payment Charges	iiiD	Waiver of late payment charges for LIHEAP customers	UGI Penn Natural Gas revenues
36	Philadelphia Gas Works (PGW) - Conservation Works	iiiE	Cash payment for acquisition and installation of weatherization materials	PGW rate payers

LEVERAGING RESOURCES

Resource #	Name	Criterion	Resource(s)	Source(s)
37	Philadelphia Gas Works (PGW) - Customer Responsibility Program	iiiD	Reduced monthly billing	PGW rate payers
38	Philadelphia Gas Works (PGW) - CRP Arrearage Forgiveness	iiiD	Arrearage Forgiveness	PGW rate payers
39	Philadelphia Gas Works (PGW) -Waived Late Payment Charges	iiiD	Waiver of late payment charges	PGW rate payers
40	PPL Electric Utilities - OnTrack Payment Program	iiiD	Reduced electric bill payments	PPL operating funds
41	PPL Electric Utilities - Operation HELP	iiiE	Cash payment for home energy bills	PPL, customer, and employee donations
42	Peoples TWP LLC - Energy Help Fund Program	iiiD	Reduced monthly payment and arrearage forgiveness	Utility Rider
43	UGI Utilities - Electric Division - CAP	iiiD	Arrearage forgiveness and affordable payments for low-income customers based in percentage of income and average bill	UGI Utilities residential rates
44	UGI Utilities - Electric Division - Operation SHARE	iiiE	Cash payment to reduce bill arrearage	UGI Utilities, customer, and employee donations
45	UGI Utilities - Electric Division - Waived Late Payment Charges	iiiD	Waiver of late payment charges for LIHEAP customers	UGI Utilities revenues
46	UGI Utilities - Gas Division - CAP	iiiE	Arrearage forgiveness and affordable payments for low-income customers based on percentage of income and average bill	UGI Utilities residential rates
47	UGI Utilities - Gas Division - Operation SHARE	iiiE	Cash payment to reduce bill arrearage	UGI Utilities, customers, employees, and company donations
48	UGI Utilities - Gas Division - Waived Late Payment Charges	iiiD	Waiver of late payment charges for LIHEAP customers	UGI Utilities revenues
49	Utility Emergency Services Fund (UESF)	iiiE	Cash payments toward energy bills and in-kind contributions	Utilities match contributions from individuals, United Way, special events, foundations, and fund raisers
50	Adams Electric Cooperative - Project Helping Hand	iiiA	Payments on past due bills	Member donations
51	Central Electric Cooperative - Family Fund	iiiA	Payments on past due bills	Cooperative members, employees, and company donations
52	Northwestern Rural Electric Cooperative - Member to Member Program	iiiG	Payments on past due bills	Cooperative members, employees, and company donations

LEVERAGING RESOURCES

Resource #	Name	Criterion	Resource(s)	Source(s)
53	CITGO Petroleum – Oil Heat Program	iiiB	100 gallons of oil provided free to income-eligible applicants	CITGO fuel oil discount administered by Citizens Energy
54	Philadelphia Board of City Trust	iiiD	Natural gas payments and fuel oil deliveries	Trust funds and accrued interest
55	UGI Central Penn – CAP	iiiD	Reduced rates and arrearage forgiveness	UGI natural gas funds
56	UGI Central Penn – Operation SHARE	iiiE	Cash payments for home energy bills	UGI, customer, and employee donations
57	Peoples Natural Gas (Peoples & Equitable Divisions) – Waived Customer Connection & Transfer Fees	iiiD	Waiver of connection and transfer fees for low income (< 150% FPL) customers	Utility ratepayers
58	Peoples TWP LLC - Waived Connection & Transfer Fees	iiiD	Waiver of connection and transfer fees for low income (<150% FPL) customers	Utility ratepayers
59	Peoples Natural Gas Peoples Division – Furnace & Gas Line Repair		Coverage of furnace/heating system and gas line repairs/replacements	Utility Rider
60	Peoples TWP LLC – Furnace & Gas Line Repair		Coverage of furnace/heating system and gas line repairs/replacements	Utility Rider
61	UGI Penn Natural Gas Operation SHARE		Cash payments to reduce bill arrearages	UGI customers, employees and company donations

APPENDIX A

HEATING REGIONS

State Heating Region	Counties
1	Bradford, Cameron, Clearfield, Elk, Forest, Lackawanna, Luzerne, McKean, Potter, Sullivan, Susquehanna, Tioga, Wayne, Wyoming
2	Blair, Cambria, Carbon, Centre, Clarion, Clinton, Columbia, Crawford, Erie, Jefferson, Lycoming, Monroe, Pike, Schuylkill, Somerset, Venango, Warren
3	Armstrong, Beaver, Bedford, Butler, Huntingdon, Indiana, Lawrence, Mercer, Montour, Northumberland, Westmoreland
4	Adams, Allegheny, Berks, Bucks, Dauphin, Fayette, Franklin, Fulton, Greene, Juniata, Lebanon, Lehigh, Mifflin, Northampton, Perry, Snyder, Union, Washington
5	Chester, Cumberland, Delaware, Lancaster, Montgomery, Philadelphia, York

APPENDIX B

LOW-INCOME HOME ENERGY ASSISTANCE PROGRAM

GENERAL

§601.1. Legislative base.

The Low-Income Home Energy Assistance Program (LIHEAP) is a federal block grant program authorized by the Low-Income Home Energy Assistance Act (Pub. L. 97-35, 42 U.S.C.A. §§8621-8629) as amended by the Human Services Reauthorization Act (Pub. L. 98-558, 98 Stat. 2878), the Human Services Reauthorization Act of 1986 (Pub. L. 99-425, 100 Stat. 966), the Augustus F. Hawkins Human Services Reauthorization Act of 1990 (Pub. L. 101-501), the National Institutes of Health Revitalization Act of 1993 (Pub. L. 103-43), the Low-Income Home Energy Assistance Amendments of 1994 (Pub. L. 103-252), the Coats Human Services Reauthorization Act of 1998 (Pub. L. 105-285), and the Energy Policy Act of 2005 (Pub. L. 109-58).

§601.2. Purpose.

The purpose of LIHEAP is to help eligible low-income households meet home-heating needs.

§601.3. Definitions.

The following words and terms, when used in this chapter, have the following meanings, unless the context clearly indicates otherwise:

Budget Plan – An optional billing procedure which averages estimated service costs over a 10-month, 11-month or 12-month period to eliminate, to the extent possible, seasonal fluctuations in bills.

CAO – County Assistance Office.

Customer Assistance Plan (CAP) – Programs that may provide customers with discounted monthly bills, based on household income and household size. CAP customers must comply with certain responsibilities and restrictions in order to remain eligible for the program.

Date of Application – The date that a completed application is received by the LIHEAP administering agency in the county where the applicant household lives.

DCED – The Department of Community and Economic Development of the Commonwealth.

DHS – The Department of Human Services of the commonwealth.

Individual With a Disability – Receiving financial assistance for a disability or eligible for MA through DHS due to a disability.

Household – An individual or group of individuals, including related roomers, who are living together as one economic unit that customarily pays for its home-heating energy either directly to a vendor or indirectly as an undesignated part of rent. **Note**: households renting with heat included that have a specific portion of their rent used for their heating costs are considered to have a heating responsibility and are therefore eligible for benefits.

LIHEAP – The Low-Income Home Energy Assistance Program.

Main Fuel Type – The source of energy for the central heating system of the residence used by the household or, if the residence is not centrally heated or the central heating system is inoperable, the source of energy used most by the household.

Resident – A person whose permanent home is in this Commonwealth and who lives there voluntarily and not temporarily for a reason such as vacation, a visit or education.

Residence – The dwelling where the household is actually living. The household must document if the household's residence is temporarily vacant for reasons beyond the household's control, such as health problems, plumbing and/or heating problems.

Roomer – An individual who has an agreement with an unrelated landlord or property owner to rent a room. Their payment for lodging includes heat and may include a private bathroom or one of the following:

(i) Board.

(ii) Kitchen or bathroom privileges on a shared basis.

(iii) Light housekeeping facilities.

Secondary Fuel Type – The source of energy that is necessary to operate the main heating source.

Supplemental Fuel Type – A source of energy that a household uses to provide heat in addition to the residence's main fuel type.

Vendor – An agent or company that directly distributes home-heating energy or service in exchange for payment. The term does not include landlords, housing authorities, hotel managers or proprietors, rental agents, energy suppliers or generators, and other parties who are not direct distributors of home-heating energy or service.

Under the restructuring statutes (66 Pa. C.S. § 2807, 66 Pa. C.S. § 2207), the

distribution companies are the suppliers of last resort; they remain regulated, and must comply with the state's winter termination rules in accordance with 66 Pa C.S. § 1406(e). The interests of the Commonwealth's low-income customers are best served and protected by sending the LIHEAP payment to the distribution companies.

Vulnerable Household – A household containing at least one member who is elderly (age 60 or over), disabled, or age 5 and under. The age of the household members is determined by their age at the time their LIHEAP application is submitted.

§601.4. Components.

LIHEAP is comprised of the following components:

(1) Cash component. The cash component provides cash payments to help eligible low-income households pay the costs of home heating.

(2) Crisis component. The crisis component provides some form of assistance to low-income households that will resolve an energy crisis:

- within 48 hours after application to resolve weather-related, supply-shortage and other household-home-heating emergencies
- within 18 hours after application if a life-threatening situation exists. This must be a documented medical emergency.
- within 15 days of a complete depletion of a deliverable fuel supply

(3) Weatherization. The weatherization component provides energy conservation and weatherization measures to help low-income households reduce the costs of home heating.

§601.5. Administration.

DHS will administer the cash and crisis components through its CAOs and other contracted agencies as appropriate. DCED will administer the weatherization component.

§601.6. Program year.

(a) DHS will announce the schedule for the current LIHEAP year in the State Plan for that year.

(b) DHS may extend or shorten the closing date of the cash or crisis components, depending upon the availability of Federal funds and other factors.

(c) During the periods before and after the official open and close dates, expenditures are made and are charged to the program year in which the costs relate.

(d) DHS may anticipate receipt of federal funds by advancing state funds for program operation; the state will be reimbursed once federal funds are received.

APPLICATION PROCESS

§601.21. Application completion.

A member of the applicant household shall complete an application within the established time frames for the program year. To complete an application for a LIHEAP benefit, the LIHEAP applicant, on behalf of the household, shall meet the following conditions. The applicant shall:

(1) Answer all questions on DHS's LIHEAP application form.

(2) Sign and date the application form.

(3) File the application form with the LIHEAP administering agency or any other agency designated by the LIHEAP administering agency to accept applications in the county where the applicant lives.

NOTE: Agencies other than the LIHEAP administering agency that are designated by the LIHEAP administering agency to accept applications are responsible for submitting such filed applications to the appropriate LIHEAP administering agency within three workdays after the applicant files the application. The date of application is the date the application is received by the LIHEAP administering agency.

(4) Provide income documentation.

(5) Provide documentation of responsibility for the payment of home heat.

(6) Provide additional verification, as needed and requested by the LIHEAP administering agency, to determine eligibility for LIHEAP and the amount of the benefit.

If it has been brought to the attention of DHS that there has been a change in the material information on the application, workers must act on known changes that occur after the application is received, but before it is processed, and use the new information in determining eligibility for LIHEAP.

If the household reports no new household members and no change of residence, the original approved LIHEAP application and supporting documentation will be valid for eligibility and benefit determination for both components during the duration of the program year. Updated supporting documentation may be required if a household changes vendors.

§601.22. Written notice.

Beginning from the program start date, the LIHEAP administering agency will send the applicant a written notice of the decision on eligibility within 30 days of the date of application.

(1) The written notice will include an explanation of fair hearing rights and procedures.

(2) The written notice will include the following:

(i) If eligible. If the household is eligible, the written notice will include the type and amount of the benefit and the names of the payee.

(ii) If ineligible. If the household is ineligible, the written notice will indicate the reason for the decision of ineligibility and provide a reference to the regulatory basis for the decision of ineligibility.

DHS will give households that register for or access their "My COMPASS Account" online the option to receive notices electronically instead of through traditional paper mail. Households that opt to receive electronic notices will be required to electronically sign a disclosure statement in which they agree to receive and read the electronic notices sent by the State agency. Users who opt to receive electronic notices must provide a valid email address, and the State agency will verify the email address provided by the user. Once the user is registered to receive electronic notices, he or she will receive a confirmation e-mail and a hard copy paper notice with instructions on how to login to their account to view notices.

When a notice is available electronically, the household will receive an e-mail notification with a link to the client's "My COMPASS Account," where the household can login to view the notice. My COMPASS Account is on a secure website that will protect the household's information through browser encryption, user name and password, time-out feature, and security questions.

Households applying through COMPASS may receive an automated eligibility determination if the applicant chooses to use the income which is verified and known to DHS other benefits such as SNAP, MA or TANF and the household’s address and household members has not changed and all other conditions of eligibility are met.

§601.23. Incomplete applications.

If an application is not complete, the LIHEAP administering agency will, within 10 workdays after receiving the application, provide a written notice to the client indicating what information is missing and will allow 15 days after the date of the notice for the client to provide the information to avoid rejection of the application. If the written notice indicating what information is missing is sent later than 10 workdays after receipt of the application, the notice must nevertheless allow 15 days for submission of the missing

information. If the missing information is not received on or before the date specified by the written notice, the LIHEAP administering agency will reject the application on the basis that an eligibility decision cannot be made because the applicant has failed or refused to provide sufficient information needed to determine eligibility.

§601.24. Application assistance.

Upon request, LIHEAP staff will mail an application form or take other steps, which may include referral to other agencies that make home visits, to help a homebound person apply for LIHEAP benefits.

ELIGIBILITY REQUIREMENTS

§601.31. General eligibility requirements.

To qualify for LIHEAP cash or crisis benefits, a household shall meet the following requirements at the time of application:

(1) Income Limit. Federal law requires states to establish eligibility for LIHEAP based on an income limit that is no more than 60 percent of the state median income as published by the U.S. Census Bureau and no less than 110 percent of the poverty level issued by the United States Department of Health and Human Services (HHS). The limits, which are subject to change annually, are published in each year's LIHEAP State Plan. For the 2016-17 program, Pennsylvania will use 150 percent of the poverty level.

(2) Responsibility for heating costs. For a cash benefit, the household shall be responsible for paying for its main source of heat either directly to a vendor or indirectly as an undesignated part of rent. For a crisis benefit, the household shall be responsible for paying for either its main or secondary source of heat either directly to a vendor or indirectly through a third-party.

(i) The following persons and members of their households are considered to have a home heating responsibility:

(A) Home owners or renters, including subsidized housing tenants, who pay for home heating fuel or utility service for their residence directly to a vendor. Persons who are responsible for paying their main source of heat directly to a vendor, but have the bill paid by someone outside of the household because the household has zero/minimal income, are considered to have a heating responsibility and are therefore eligible for LIHEAP benefits. **NOTE**: A household is not considered to have a heating responsibility if it is agreed upon that an agency is always responsible for the heating bill (such as people in subsidized housing who have the bill paid by the housing agency, even though it is in the client's name; or a student who has someone outside the household always paying their bill, regardless of the student's income).

(B) Renters who pay for heat indirectly for their residence as an undesignated part of rent. Renters, including subsidized-housing tenants, are ineligible if their rental charge includes an undesignated amount for heat and is based on a fixed percentage of their income or on their source of income. **NOTE:** If a household in subsidized housing, which pays for rent and utilities as a fixed portion of its income, becomes responsible for payment to a vendor, either in full or in part, for its primary heating costs, that household then becomes eligible for a cash benefit, if otherwise eligible. If a household in subsidized housing, which pays for rent and utilities as a fixed portion of its income, becomes responsible for payment to a vendor, either in full or in part, for its primary or secondary heating costs, that household then becomes eligible for a crisis benefit, if otherwise eligible.

(C) Roomers who pay for their lodging in either a commercial establishment or in a private home which is their permanent and primary home. Roomers are ineligible if their charge for room or room and board includes an undesignated amount for their main fuel and is based on a fixed percentage of their income or on their source of income.

(ii) Persons are ineligible if they are in a temporary living arrangement for a reason such as a visit, vacation or education. Residents in institutions, dormitories, fraternity or sorority houses and boarding homes are ineligible.

(iii) Persons living in recreational vehicles (Campers and RVs) are ineligible for LIHEAP unless they provide verification that they reside in a campground or other licensed facility year-round and are responsible for heating costs.

(iv) Persons that are operating a licensed business out of the LIHEAP household's residence will be ineligible for LIHEAP if they are using the home's utilities as a deduction on their business' tax return and a majority of the home is used for business.

(v) Persons who are currently incarcerated or are fleeing to avoid prosecution, custody or confinement after a felony conviction (or high misdemeanor in New Jersey) are ineligible to receive LIHEAP benefits.

(vi) A household will be ineligible for a LIHEAP grant, Cash or Crisis, if the heating appliance isn't installed and operating based on the manufacturer's specifications or current code requirements, whichever is more stringent, and isn't following all applicable building and fire codes.

(vii) For customers whose service has been disconnected at their previous address and need services to be connected at their new address, DHS will allow a regulated utility to request 50 percent of the customer's back balance from the previous address and a reconnection fee in order to restore service. If a LIHEAP Cash grant is over 50 percent of the customer's back balance and reconnection fee, the regulated utility must apply the remainder of the Cash grant to a household's future bills.

Utilities must also agree to keep service on through the moratorium and enroll the client in a CAP or budget program if the customer is eligible.

(3) Residency. Household members must permanently reside in Pennsylvania.

(4) Citizenship. As per federal law, United States citizenship or lawfully admitted non-citizen status is a requirement to receive LIHEAP. All lawfully admitted non-citizens, regardless of when they entered the United States, are eligible to receive LIHEAP if they meet other eligibility requirements. A qualified lawfully admitted non-citizen is:

(i) A non-citizen lawfully admitted for permanent residence as an immigrant under the Immigration and Nationality Act (the "Act"), as defined in PRWORA.

(ii) An asylee granted asylum under section 208 of the Act.

(iii) A refugee admitted to the United States under section 207 of the Act.

(iv) A non-citizen paroled into the United States under section 212(d)(5) of the Act for a period of at least one year.

(v) A non-citizen whose deportation is being withheld under section 243(h) of the Act as in effect prior to April 1 1997, or whose removal is being withheld under section 241(b)(3) of the Act.

(vi) A non-citizen granted conditional entry under section 203(a)(7) of the Act as in effect prior to April 1, 1980.

(vii) A non-citizen who is a Cuban or Haitian entrant; or

(viii) A non-citizen who (or whose child or parent) has been battered or subjected to extreme cruelty in the United States and otherwise satisfies the requirements of 8 U.S.C. §1641(c).

§601.32. Eligibility requirements for crisis benefits.

Crisis Benefits

Households may apply for and, if eligible, receive crisis benefits regardless of whether they apply for or receive a LIHEAP cash benefit. To qualify for a crisis benefit, a household shall meet the following requirements:

(1) The household shall meet the general eligibility requirements under §601.31 (relating to general eligibility requirements), income limit, responsibility for heating costs, Pennsylvania residency and lawfully admitted non-citizen status.

(2) The household shall be without heat or in imminent danger of being without heat because of a weather-related or energy-supply-shortage emergency.

(3) The household shall be eligible for a crisis benefit that, alone or combined with other resources available to the applicant household, will resolve the home-heating emergency. If a household is authorized for the LIHEAP Cash component before the date of their request for Crisis benefits, any existing credit including the LIHEAP Cash component that has been authorized and not yet received is considered to be available and must be used first for the resolution of the crisis.

(4) The applicant must provide proof of the home-heating emergency.

PROVISION OF CASH BENEFITS

§601.41. Benefit amounts.

(a) The amount of a LIHEAP cash benefit is based on the following household factors at the time of application:

(1) Household size. The members of the applicant household, regardless of relationship, including a roomer who is a relative of a household member, shall be counted when determining household size.

The following persons are not counted as household members when determining household size:

(i) Persons who are living with the applicant household but previously received a LIHEAP Cash benefit as a member of another household during the program year.

(ii) Persons who are maintaining their living arrangement temporarily for a reason such as a visit, vacation or education.

(iii) Residents in institutions, dormitories, or fraternity or sorority houses, and boarding homes.

(iv) Non-citizens who are not lawfully admitted non-citizens as specified in §601.31(4) (relating to general eligibility requirements).

(v) Persons who are currently incarcerated or are fleeing to avoid prosecution, custody or confinement after a felony conviction (or high misdemeanor in New Jersey) are ineligible to receive LIHEAP benefits.

(2) Household income. Household income is determined as specified in §§601.81 through 601.84 (relating to income determination for cash and crisis benefits). For eligible households that have income from employment, household

income for the purpose of benefit determination is derived by deducting 20 percent from the gross wages.

(3) Heating region. The heating region in which the household lives affects the benefit amount. The composition, by counties, of each of the five heating regions in this Commonwealth is tabulated in Appendix A.

(4) Fuel type. The household can choose to have the cash grant issued to its main or secondary heating source. If the payment is issued to the secondary source, the amount of the cash payment will be based on the amount of the main source of home heating fuel. A cash grant may only be issued to a supplemental heat source in situations where the main source of heat is inoperable and the supplemental heat source is the source of energy used most by the household.

(b) The county-by-county benefit table for the cash component, which is subject to change annually, is available at the local CAO and on-line at the following DHS website: http://www.dhs.pa.gov/citizens/heatingassistanceliheap/, under "LIHEAP Benefit Amount Table."

The amount of the LIHEAP cash grant cannot exceed the maximum amount allowed under the current LIHEAP State Plan.

(c) Vulnerable Households. All eligible households which contain at least one member who is elderly (age 60 or over), disabled, or age 5 and under, will receive a supplemental payment in addition to their cash grant amount.

Supplemental payments will be issued cumulatively, based upon the composition of the household, in the following amounts:

- $50 if the household contains someone age 60 or over
- $50 if the household contains an individual with a disability
- $75 if the household contains a child age 5 or under

A household can only receive one of each type, and households meeting all three criteria above can receive a maximum supplement of $175. An individual can only be counted for one criterion.

§601.42. Roomers and renters with heat included in rent.

Eligible roomers and renters who pay for heat indirectly for their residence as an undesignated part of the rent will receive 50 percent of the LIHEAP cash benefit for which they would otherwise qualify.

§601.43. Number of payments.

An eligible household receives only one LIHEAP cash benefit during a program year subject to the minimum and maximum benefit amount allowed under the current LIHEAP State Plan. If additional LIHEAP funds are available, DHS may issue a supplemental LIHEAP cash benefit.

§601.44. Payees.

(a) If the household pays for fuel directly, DHS pays the vendor on behalf of the eligible household.

(b) DHS pays the benefit to the applicant for the household in the following situations: if the household pays for heat as an undesignated part of rent, the fuel vendor refuses to participate in the program or has been removed from the list of participating vendors, the heating bill is in the name of a non-household member, the bill is paid to a third party such as in a master-metering situation, or the applicant is a roomer.

(c) Landlords, housing authorities, rental agents, hotel and rooming house proprietors and managers, and other parties who are not direct distributors of home heating, energy or service are ineligible for a vendor payment on behalf of an eligible household.

§601.45. Application of Benefits.

Public utilities that operate CAPs will apply the LIHEAP cash component benefits only to the customer's monthly 'Asked to Pay' amount. No LIHEAP funds may be applied to CAP customer's pre-program arrearages or unbilled usage amounts.

LIHEAP funds are available for use during a two-year period that includes the LIHEAP program year of receipt and through June 30th of the LIHEAP program year immediately following. For example: LIHEAP benefits authorized on November 27, 2015, are available for use through June 30, 2017.

The vendor shall retain unused LIHEAP funds as a credit balance in the customer's account until June 30th of the following state fiscal year unless the client changes vendors, leaves the area served by the vendor, or deceases.

Up to 10 percent of the LIHEAP block grant received during the fiscal year may be carried forward to the following fiscal year. Funds that are carried over must be obligated by the end of the fiscal year following the year in which they were appropriated.

Cash component payments received on behalf of a LIHEAP customer, and designated for payment for deliverable fuels, will not be used to cover fuel customer purchases prior to the program year in which they are authorized.

LIHEAP benefits may not be used for security deposits or late payment charges.

§601.46. Refunds.

LIHEAP funds are available for use during a two-year period that includes the year of receipt and the year immediately following. All LIHEAP funds that have not been expended on or before June 30 of the year following the LIHEAP program year in which benefits were authorized must be refunded.

Refunds and reissuances of LIHEAP benefits are treated as follows:

(1) Refunds from the vendor. The vendor shall refund the unexpended portion of the LIHEAP benefit to DHS's LIHEAP Vendor Unit under the following circumstances:

(i) The client changes vendors.

(ii) The client leaves the area served by the vendor.

(iii) The client deceases.

(iv) LIHEAP benefits are remaining in the customer's account as of June 30th of the year immediately following the state fiscal year in which payment was authorized.

If a security deposit that had been paid with LIHEAP funds is to be returned, the vendor shall refund the security deposit to DHS's LIHEAP Vendor Unit.

(2) Reissuances to or on behalf of the client. DHS will reissue a vendor refund, as applicable, for the current or previous program year if all of the following conditions are met:

(i) The whereabouts of the household are known.

(ii) The household continues to reside in the commonwealth.

(iii) The household continues to have a home-heating responsibility.

PROVISION OF CRISIS BENEFITS

§601.61. Benefit amounts.

The amount of a crisis benefit is the amount needed to resolve the home-heating emergency; subject to the minimum and maximum LIHEAP crisis benefits allowed. The household is ineligible for a crisis benefit which, alone or combined with other resources available to the household, will not resolve the crisis. Any credit balance with the vendor, including but not limited to the LIHEAP cash component that has been authorized and not yet approved is considered to be available and must be used first for the resolution of the crisis.

The household can have the crisis grant issued to their main heating source, a secondary heating source or to a supplemental heat source when the main source of heat is inoperable.

When the main fuel type is a deliverable fuel type, such as oil, kerosene, propane, wood or coal, the amount needed to resolve the crisis is based on whether the fuel is delivered by the vendor or transported by the applicant. If delivered, the amount needed to resolve the crisis is the amount needed to resolve the home-heating emergency, subject to the minimum and the maximum LIHEAP crisis benefits allowed under the current LIHEAP State Plan. Crisis benefits may be used for off-hour or off-route delivery charges. If not delivered by the vendor, the amount needed to resolve the crisis is the amount that can be transported by the household in one trip. A statement from the vendor verifying the cost the applicant will incur when transported by a non-vendor is required prior to authorization of payment; a receipt verifying payment was made is not required prior to authorization of payment.

Vendors that accept crisis payments based on utility termination notices or based on reconnection of utility service must agree to maintain ongoing utility service to such households for no less than 30 calendar days from the date of the resolution of the crisis. The amount of a crisis grant cannot exceed the amount listed on a utility termination notice, subject to the minimum and maximum LIHEAP crisis benefits allowed. Crisis benefits may be used for reconnect fees. With regard to crisis payments approved to regulated utilities during the period referred to in §601.62(2)(ii)(A), the earliest allowable termination date is considered to be 30 days following the resolution of the crisis, or May 1, whichever is later.

All participating energy vendors shall enroll a crisis recipient in a CAP or establish a budget plan, if the monthly CAP or budget plan amount is the most advantageous rate for the household.

§601.62. Types of crisis benefits.

An eligible household may receive crisis benefits for weather-related or energy-supply-shortage emergencies.

(1) Benefits for weather-related emergencies. Crisis benefits for weather-related emergencies may include the following types of assistance:

(i) The purchase of a new heating system if documentation is provided that the heating system cannot be repaired or repairs will correct the problem only temporarily.

(ii) Pipe thawing services if the household has a consistent problem with freezing pipes that cannot be repaired by a plumber and is related to heating the house.

(iii) The repair of a broken furnace, which may include filter replacement and chimney cleaning or repair.

(iv) The repair of a water-heating system, including repair of water pumps and accessories, if the system is essential for producing home heat.

(v) The repair of gas or other fuel lines when the lines feed the main heating source.

(vi) The repair of broken windows, if necessary to ensure the effectiveness of other repairs or improvements.

(2) Benefits for energy-supply-shortage emergencies. Crisis benefits for energy-supply-shortage emergencies include payment for the following:

(i) Home-heating fuel for a household that is out of fuel or if the heating fuel supply will last less than 15 calendar days. The payment will be for the main fuel type and may include the cost of an added charge for off-hours or off-route delivery service. The payment amount will not exceed the cost of the delivery; including any necessary reconnect fees and/or minor furnace start-up costs. Any credit balance with the household's vendor, including LIHEAP funds that have been authorized and not yet received, will be deemed available to resolve the crisis and will be applied toward the delivery cost first.

(ii) Utility bills to restore or continue home-heating service if the household is without heat or in imminent danger of being without heat because of actual or scheduled termination of the main or secondary source of heat by a utility company. The payment may include the charge, if required, for a service reconnection.

NOTE: Crisis benefits may be approved in this instance based on issuance of a termination notice. The following applies:

(A) For utilities regulated by a governing body such as the Public Utility Commission (PUC), winter termination procedures prevent the termination of service without the governing body's approval from December 1 through March 31. Regulated utilities may still issue termination notices from December 1 through March 31. They cannot, however, act on these notices to terminate service without having been granted permission to terminate service by the governing body. In these situations, contact must be made with the utility to determine if the governing body has granted the utility permission to terminate service for the applicant household before crisis benefits may be authorized to relieve the emergency. The household is ineligible for crisis benefits if the utility has not been granted approval to terminate service.

(B) For utilities not regulated by a governing body, a termination notice means that the utility has established a date when service will actually terminate, in accordance with the utility's current termination procedures. Documentation of the termination notice must be provided before crisis benefits may be authorized to relieve the emergency.

(iii) LIHEAP will operate a Turn-On program to assist households who are without heat or in danger of being without heat. This program will provide assistance with utility terminations and minimum fuel deliveries prior to the FY 2018 LIHEAP program year, subject to the availability of funds.

§601.63. Number of payments.

A household may receive more than one crisis benefit during the program year, subject to the minimum and maximum amounts allowed under the current LIHEAP State Plan and the amount of available federal funding.

§601.64. Payees.

DHS pays crisis benefits directly to the vendor, unless direct payment to a vendor cannot be made. If DHS determines that crisis benefits cannot be paid directly to the vendor, DHS pays the crisis benefit to the applicant as reimbursement after verification of the purchase has been provided.

§601.65. Refunds.

Refunds and reissuances of LIHEAP Crisis benefits are treated as follows:

(1) Refunds from the vendor. If the LIHEAP client changes vendors, leaves the area served by the vendor, or dies, the vendor shall refund any unused LIHEAP funds to DHS's LIHEAP Vendor Unit within 48 hours after the basis for the

return is known. If, for any reason, the amount of the crisis benefits authorized is in excess of the amount needed to resolve the crisis, the excess must be returned to DHS's Comptroller's Office within 48 hours. Any unexpended LIHEAP benefits erroneously retained in the customer's account as of June 30 of the state fiscal year in which payment was authorized shall be refunded to DHS's LIHEAP Vendor Unit by July 31.

(2) Reissuances to or on behalf of the client. DHS will reissue a vendor refund, as applicable, for the current or previous program year if all of the following conditions are met:

(i) The whereabouts of the household are known.

(ii) The household continues to reside in the commonwealth.

(iii) The crisis for which benefits were authorized continues to exist.

INCOME DETERMINATION FOR CASH AND CRISIS BENEFITS

§601.81. Income counted.

To determine the income level of an applicant household for cash and crisis benefits, the LIHEAP administering agency counts the gross annual income of the following persons:

(1) The household members, regardless of relationship.

(2) A roomer who is related to a household member by blood, marriage or adoption.

(3) A person living with the applicant who, as a member of another household, has already received a LIHEAP cash or crisis benefit during the program year.

§601.82. Gross income defined.

Gross income is the total earned and unearned income of the household and includes the following:

(1) Employee earnings. Employee earnings are money, including wages, salaries, bonuses, commissions and tips, before taxes or other deductions, that a person receives for providing services on behalf of an employer.

(2) Profit from self-employment. Profit of a self-employed person is gross receipts minus costs of operating a business or farm, practicing a profession, providing day-care for children in an approved family day-care facility, or renting nonresident real property.

(i) The following expenses are among those that are not deductible from gross receipts:

(A) Depreciation.

(B) Personal business and entertainment expenses.

(C) Personal transportation.

(D) Purchase of capital equipment.

(E) Payment on the principal of loans for capital assets or durable goods.

(F) Work-related expenses such as federal, state and local income taxes, contributions to retirement funds, and transportation to and from work.

(G) Deposits into the self-employed person's retirement account and payment for his or her life insurance.

(ii) A loss from one source of income cannot be used to offset another source of income.

(3) Income from roomers, boarders or apartment renters. Gross income from providing room or board, or both, or from apartment rentals paid directly to a household member is computed under 55 Pa. Code §183.65 (relating to profit).

(4) Unearned income. Unearned income includes, but is not limited to, the following:

(i) Public assistance grants.

(ii) Social Security benefits.

(iii) Workers' compensation.

(iv) Supplemental Security Income.

(v) Unemployment compensation.

(vi) Support payments.

(vii) Cash gifts and contributions.

(viii) Pensions.

(ix) Interest and/or dividends from investments or bank accounts.

(x) Veterans' benefits.

(xi) Funds withdrawn from Individual Retirement Accounts, Certificates of Deposit and proceeds from the sale of stock certificates.

(xii) Utility Allowances paid directly to the household from the landlord or public housing agency to cover utility bills.

(xiii) Income from nonresident rental property managed by a rental agency or another person

§601.83. Treatment of income.

(a) The applicant may choose whether the time period to be used in determining gross annual income shall be the 12 months or the calendar month prior to the month of application. Regardless of the selected time period, income shall be converted to a yearly figure. Income for household members who are receiving Supplemental Nutrition Assistance Program (SNAP), Cash or Medical benefits from DHS will be annualized based on the gross amount documented on DHS's Client Information System.

(b) If the total gross annual income of the household exceeds the established percentage of the poverty level for the current year, after all allowable exclusions, the household is ineligible.

§601.84. Income exclusions.

The following income will not be considered when determining gross yearly income for the purpose of establishing LIHEAP eligibility:

(1) Educational assistance from scholarships, grants, and loans to a student unless it is solely for basic living needs such as housing and food and the amount of income from other sources used to pay out-of-pocket expenses for books and other required educational fees.

(2) All student financial assistance received from a program funded in whole or in part under Title IV of the Higher Education Assistance Act Amendments of 1992 (P.L. 102-325), or under the Bureau of Indian Affairs student assistance programs.

(3) Payments for services or out-of-pocket expenses to volunteers serving as foster grandparents, senior health aids or senior companions, and to persons serving in other programs under Title II of the Domestic Volunteer Service Act of 1973 (42 U.S.C.A. §§5001-5024).

(4) Payments, including stipends, to volunteers for VISTA, Service Learning Programs and Volunteer Programs under Title I of the Domestic Volunteer Service Act of 1973 (42 U.S.C.A. §§4951-4994).

(5) Benefits received by a participant in the SNAP Program.

(6) The value of donated foods -- surplus commodities -- from the United States Department of Agriculture.

(7) The value of home produce of clients for household consumption.

(8) Money received under the Senior Citizen Rebate and Assistance Act (72 P.S. §§4751-1 through 4751-12).

(9) Money received as incentive or training-related expenses provided to persons involved in a work/training program sponsored by a Federal, State or local government agency.

(10) Medicare premiums deducted from Social Security benefit payments.

(11) Amounts received as reimbursement for medical costs, medical transportation and special allowance items as defined under Chapter 138 (relating to allowances and benefits).

(12) Cash or in-kind assistance with heating costs provided by private or public agencies or utility companies.

(13) Loans which can be verified with a statement from the lender or a loan document specifying the repayment plan.

(14) The portion of a Social Security lump sum death benefit designated for funeral expenses.

(15) For actual child support received, whether court-ordered support or voluntary support from a legally responsible relative, up to the first $100 will be excluded in determining household income if there is one child under age 18 in the household. If there are two or more children in the household, up to $200 will be excluded. Also, up to the first $50 of actual spousal support received in a given month will be excluded. If a household receives both child support and spousal support, only the amount which is the greatest will be excluded for that month; the household will not receive both a child

support and spousal support deduction in the same month. All support refunded by DHS during the month is excluded.

(16) Agent Orange Settlement payments.

(17) Earned Income Tax Credits (EITC) including anticipated monthly payments as well as year-end payments.

(18) Income tax refunds.

(19) Restitution payments made to individuals because of their status as victims of Nazi persecution.

(20) Non-recurring lump sum payments.

(21) Wage earnings of a dependent child under age 18.

(22) Utility allowances for residents of subsidized and public housing, unless the household receives the payment directly from the landlord or public housing authority to cover utility bills. If the utility allowance is paid directly to the household, the amount of the payment is counted as unearned income in the month during which it is received.

(23) Money paid by an approved child-placement agency to the client for providing foster care for a child if the money is received through Title IV-E of the Adoption Assistance and Child Welfare Act of 1980 (P.L. 96-272). Money received through Article VII of the Public Welfare code (62 P.S. Sections 701 - 774) also is not counted.

(24) Earned income from temporary census employment.

(25) A person who has unearned income may get a deduction for expenses that he or she has to pay to get the income. These expenses include, but are not limited to, the following:

- Attorney fees;
- Court costs;
- Transportation costs;
- The amount paid to a rental agency to handle rental property;
- Court-ordered fees paid to a guardian who controls the person's income.

NOTE: The CAO must make sure to subtract expenses to determine the unearned income used for the gross income test.

VERIFICATION AND DOCUMENTATION

§601.101. Verification and documentation defined.

The applicant shall provide sufficient information regarding the household's circumstances to enable the LIHEAP administering agency to determine LIHEAP eligibility and the amount of a LIHEAP benefit.

(1) Verification. The term refers to any form of convincing information, including oral statements or documentation. Types of documentation may not be limited to any specific type and may include: written evidence, public records, automated sources, electronic evidence and websites.

(2) Documentation. The term refers to written or printed evidence, such as fuel bills, rent receipts, or pay stubs, that is needed to determine LIHEAP eligibility and the type and amount of the LIHEAP benefit.

§601.102. Income.

(a) The applicant shall provide documentation of the amounts and sources of income of household members, including related roomers, as well as that of anyone in the household who received LIHEAP benefits during the current program year as a member of another household.

(b) The applicant shall report but is not required to document income of persons in the household who are currently receiving SNAP, Cash or Medical benefits from DHS and whose income has already been documented and is available in a case record on file with the local CAO.

§601.103. Minimal or no income.

If the applicant states that the household has minimal or no income, the applicant shall be required, as a condition of eligibility, to produce evidence that will satisfactorily explain how the household members are meeting their financial obligations and basic living needs.

§601.104. Responsibility for home-heating costs.

(a) The applicant for a cash benefit must provide either a recent fuel bill or receipt for the main fuel type of the household or the CAO can verify a household’s heating responsibility through collateral contact with the vendor. A recent bill or receipt is one that was issued within two months of the date before application. Receipts from vendors for fuel purchased since January of the previous LIHEAP season may be acceptable. CAOs can use websites, hotlines and other collateral contacts to verify a household’s heating responsibility or that a vendor has provided or will provide service to a household. If the household chooses to have the benefit paid to the vendor of its

secondary fuel type, the applicant for a cash benefit shall provide documentation of a financial responsibility for both the main and secondary fuel types.

(b) The applicant for a crisis benefit shall prove payment responsibility for either the main or secondary fuel type of the household. In the absence of a recent bill or receipt due to prior termination of service, verification is required from the vendor that service will be activated pursuant to a determination of eligibility for LIHEAP.

(c) If the household pays for heat indirectly, a written or oral statement from the landlord or rental agent may be acceptable verification of a home-heating responsibility. The statement shall specify the main type of fuel used to heat the home of the applicant household.

(d) Proof of payment responsibility for either a cash or crisis benefit may be in a name other than the applicant's name in certain reasonable situations, such as the death of the person billed or credit problems of the applicant. The applicant must provide written proof of address other than the heating bill and explain why the bill is in another person's name **EXAMPLE:** For security reasons, the LIHEAP applicant continues to have the utility bill in the name of her deceased spouse. She provides a driver's license documenting that she resides at the residence.

§601.105. Proof of residence.

In situations where the household is not living at its actual residence, in order to qualify for LIHEAP benefits, the household must provide documentation of the emergency or situation beyond the household's control that requires that the household live elsewhere. Appropriate documentation may include some type of written or printed information, such as a doctor's statement or letter from the Board of Health, substantiating why the household is not residing at its residence.

Upon request, the CAO will assist the applicant in providing proof of residence.

§601.106. Social Security numbers.

Applicants shall provide social security numbers for all members of their household. This requirement is consistent with the May 5, 2010 HHS Information Memorandum LIHEAP-IM-2010-6, which allows states to require social security numbers from applicant households as a condition of LIHEAP eligibility. A household member who does not have a social security number or is unable to provide one shall complete an energy assistance affidavit. An energy assistance affidavit is not required for a child under the age of one.

§601.107. Questionable information.

The LIHEAP administering agency may require the applicant to verify information affecting eligibility that appears to be incomplete, unreasonable, or inconsistent with known facts.

§601.108. Proof of energy crisis.

The applicant for a crisis benefit must provide proof that the household is experiencing a home-heating emergency. Acceptable forms of proof include:

- a utility termination notice or verification of a scheduled termination;
- verification that utility service has already been terminated; or
- a statement from the applicant that the household's deliverable fuel supply will last less than 15 days.

Termination notices issued by regulated utility companies from December 1 through March 31 are not proof of a home heating emergency. These companies cannot terminate services during this period without permission from the PUC.

§601.109. Lawfully admitted non-citizen status.

The applicant must provide proof of lawfully admitted non-citizen status for each non-citizen who resides in the household. Documentation consists of a document issued by U.S. Citizenship and Immigration Services (USCIS). Refer to the Chart at end of Appendix B for examples of acceptable documentation.

CLIENT RIGHTS

§601.121. Confidentiality.

(a) Information about a LIHEAP applicant or recipient is confidential and may be disclosed for only the following purposes.

(1) To aid in the investigation or prosecution of suspected fraud in connection with LIHEAP; or

(2) To cooperate with federal or state authorities regarding LIHEAP audits, reports, reviews, and investigations.

(b) If the client concurs, the LIHEAP administering agency may disclose only that information about the applicant or recipient household that is needed to help the household apply for or obtain other forms of home energy assistance.

§601.122. Nondiscrimination.

DHS assures that no person on the basis of race, color, sex, age, handicap, religion, national origin or ancestry, sexual orientation, or political belief will be excluded from participation in LIHEAP, denied LIHEAP benefits or be subject to discrimination in an activity or project receiving LIHEAP funds.

§601.123. Appeals and fair hearings.

(a) Applicants may appeal and receive a fair hearing of their claim for LIHEAP if the applicant believes that benefits are unjustly denied or unreasonably delayed or may appeal and receive a fair hearing of a decision regarding overpayments.

EXCEPTION: Applicants do not have the right to a fair hearing if the program closes prior to authorization of benefits due to lack of funds, or if application is submitted after the close of the program.

(b) Client rights and procedures for appeals and fair hearings appear in Chapter 870 of the Supplemental Handbook (relating to appeal and fair hearing).

(c) Upon request, LIHEAP staff will help the client with any aspect of the appeal and fair hearing process.

OVERPAYMENTS

§601.141. Overpayment defined.

An overpayment is the payment of LIHEAP funds or provision of LIHEAP benefits for which the agency or person is either fully or partially ineligible.

§601.142. Liability.

A person or agency that receives LIHEAP funds or benefits for which it is ineligible shall repay DHS for the overpayment.

§601.143. Fraud.

A person who knowingly misrepresents or withholds information in order to qualify anyone for a LIHEAP benefit is guilty of fraud and subject to a penalty of a fine or imprisonment, or both.

§601.144. Treatment of overpayments.

(a) If an overpayment occurs because of suspected fraud, client error, or client misrepresentation, DHS will refer the overpayment for collection or prosecution to the Office of Inspector General, P.O. Box 8016, Harrisburg, Pennsylvania 17105-8016, under Supplemental Handbook Chapter 910 (relating to overpayment recovery).

(b) If an overpayment of $25 or greater occurs because of vendor error, misrepresentation, or fraud, DHS will take progressive steps, if necessary, to seek restitution of the overpayment. If an overpayment is less than $25, DHS will not seek restitution of the overpayment, but a referral will still be made to the Office of Inspector General. In instances where vendor error has caused the overpayment, any calls or notices to the vendor regarding repayment must include a statement that repayment must be made from vendor funds, not client funds. Progressive steps are:

(1) DHS will notify the vendor of the overpayment by telephone to request repayment within 10 days of the telephone call.

(2) If, after 10 days of the telephone call, the vendor fails or refuses to repay DHS for the overpayment, DHS will send a written notice to the vendor requesting restitution.

(3) If, after 10 days from the date of the written notice, DHS has still not received restitution from the vendor, DHS will send the vendor a notice by certified mail. This notice will inform the vendor that unless restitution is paid within 10 days, DHS will remove the vendor from the list of participating LIHEAP vendors and will refer the overpayment for investigation and collection.

(4) If, after 10 days from the date of the notice by certified mail, the vendor fails to return the funds, DHS will remove the vendor from the list of participating vendors and refer the overpayment to DHS's Office of General Counsel for investigation and collection.

(c) If an overpayment occurs that was not caused by fraud, error or misrepresentation, by either the client or the vendor, the overpayment will be considered an administrative error. No restitution is required by the client or the vendor and no referral will be made to the Office of Inspector General.

§601.145. Accounts Receivable

DHS is authorized to recoup past due LIHEAP balances from vendors by debiting any current or future LIHEAP payment to the vendor for an amount equal to the outstanding unrefunded balance that is due to DHS from the vendor. A record of the balance of funds owed is established by DHS when a vendor error has occurred or a vendor has received a payment on behalf of a client who has subsequently moved to another county and is no longer a customer of the vendor. The vendor must return these funds to DHS.

DHS will send the vendor up to three notices requesting payment of the funds. If the vendor has failed to respond after the third notice, the amount of the balance of funds owed to DHS will be deducted from the vendor's next payment(s) until the funds are repaid.

The vendor acknowledges that DHS will reduce vendor payments by the amount of the balance of funds owed to allow for the expeditious collection of these debts. The vendor agrees to apply the full payment amount of each LIHEAP benefit approved by DHS to the respective account of each LIHEAP recipient whom the vendor serves.

U.S. CITIZENSHIP AND IMMIGRATION SERVICES (USCIS)
ELIGIBLE NON-CITIZEN STATUS CHART

Non-citizen	USCIS Document
Lawfully admitted for permanent residence as an immigrant	-I-551 (Non-citizen Registration Receipt card-Green card) -I-551 (Unexpired Temporary I-551 stamp in foreign passport) -I-94 (Arrival - Departure Record)
Asylee (USCIS Section 208)	-I-94 annotated with stamp showing grant of asylum under Section 208 -I-688B (Employment Authorization Card) annotated "274a.12(a)(5)" -I-766 (Employment Authorization -Document) annotated "A5" -Grant letter from the Asylum Office of USCIS -Order of an immigration Judge granting asylum
Refugee (USCIS Section 207)	-I-94 annotated with stamp showing admission under Section 207 -I-688B (Employment Authorization Card) annotated "274a12(a)(3)" -I-766 (Employment Authorization Document) annotated "A3" -I-571 (Refugee Travel Document)
Non-citizen Paroled Into U.S. for at Least One Year (USCIS Section 212(d)(5))	-I-94 with stamp showing admission for at least one year under Section 212(d)(5) Periods of admission for less than one year cannot be added to meet the one year requirement
Non-citizen whose Deportation or Removal was Withheld (USCIS Section 243(h)) (USCIS Section 241(b)(3))	-I-688B (Employment Authorization Card) annotated "274a.12(a)(10)" -I-766 (Employment Authorization Document) annotated "A10" -Order from an immigration judge showing deportation withheld under 243(h) of the INA as in effect prior to April 1, 1997, or removal withheld under 241(b)(3)
Non-citizen Granted Conditional Entry (USCIS Section 203(a)(7))	-I-94 with stamp showing admission under 203(a)(7) -I-688B (Employment Authorization Card) annotated "274a.12(a)(3)" -I-766 (Employment Authorization Document) annotated "A3"
Cuban/Haitian Entrant (USCIS Section 212(d)(5))	-I-551 coded CU6, CU7, CH6 -I-551 Unexpired temporary I-551 stamp in foreign passport -I-94 with code CU6 or CU7 -I-94 with stamp showing parole as "Cuban Haitian Entrant" under Section 212(d)(5)
Non-citizen who has been battered or subjected to extreme cruelty in the United States	-Collateral contacts with school counselors, health professionals, social service agency personnel, police or courts -Affidavit from person -Eye witness accounts

APPENDIX C

CRISIS INTERFACE AND WEATHERIZATION ASSISTANCE PROGRAM

The mission of the Pennsylvania Department of Community and Economic Development's (DCED) Center for Community Services is to reduce energy consumption and cost in low-income households throughout Pennsylvania. This attachment constitutes the DCED portion of the Department of Human Services (DHS) State Plan specifically applicable to LIHEAP for the Federal Fiscal Year (FY) 2017 program year. The Pennsylvania Weatherization Assistance Program (WAP) State Plan, as developed by DCED and submitted to the Department of Energy (DOE), is hereby incorporated for reference.

For FY 2015, DCED received $30,953,349 of the federal Department of Health and Human Services LIHEAP allocation from DHS for use in its Crisis Interface and Weatherization Assistance Programs. For FY 2016, DCED has received $27,325,557.

For both fiscal years, DCED-allocated LIHEAP funds not expended on Crisis are used to weatherize homes. Statistics regarding the last two years' LIHEAP funding are as follows:

- Crisis expenditures for FY 2015 totaled over $19 million; approximately $8 million of the funds were used to provide standard weatherization services; and over $3.6 million was allocated for the Crisis season start up for FY 2016.

- Crisis expenditure data for FY 2016 is not yet complete since Crisis season is not over at the writing of this plan. Therefore, at the writing of this plan, preliminary data suggests that the Weatherization Agencies will spend over $13 million on the Crisis Interface portion of the $27,325,557 allocation.

- We expect the $13 million balance of funds at the end of the Crisis season to be spent on providing standard weatherization services with priority given to the Crisis Interface clients.

- DCED and Weatherization Agencies expect to expend the full allocation of $27,325,557.

Expenditure levels and other aspects of this plan are based on current growth and demand for both Crisis Interface and Weatherization Services. In the event that additional funding becomes available, or the total allocation is decreased, DCED reserves the right to modify this Plan in accordance with all applicable regulations and procedures. DCED understands that any changes not in accordance with the initial formula may necessitate a public hearing.

What follows is a description of the two components of weatherization accomplished and anticipated via LIHEAP funding: Crisis Interface and the Weatherization Assistance Program.

CRISIS INTERFACE COMPONENT

I. Introduction

The DCED has, since 1993, operated the Crisis Interface Program with LIHEAP funds for heating-related emergencies that are referred to the Weatherization Agencies by the local County Assistance Offices (CAOs) or by a local community-based organization (Crisis Contractor). This program has been labeled "Crisis Interface" because it describes the relationship between DHS and DCED, which administers the Weatherization Assistance Program statewide. The DHS Crisis program is administered through the local CAOs or by a Crisis Contractor. Crisis Interface involves two distinct services: supply shortages and weather-related emergencies (which include repair/replacement of heating systems or fuel lines, broken windows and pipe-thawing). Most supply shortages are resolved with vendor payments by DHS while weather-related emergencies are referred to local Weatherization Agencies to find resolution. Eligibility for Crisis services is determined by the local CAO or Crisis Contractor.

II. Eligibility Determination

LIHEAP eligibility for the Crisis component of the program is determined by the local CAO or the local LIHEAP Crisis Contractor based on income levels determined by DHS. The eligible income level for Crisis services is determined annually by DHS, which may be lower than the Weatherization Assistance Program income eligibility levels.

Although no additional income eligibility determination is required to be performed by the Weatherization Agency, it is possible for the Weatherization Agency to discover income or household information discrepancies at the time of visit.

In such cases, when the Weatherization Agency personnel find that an applicant's situation may not meet Crisis eligibility criteria or conflicts materially with the referral provided by the CAO, the CAO will be notified immediately of the finding. All client appeals will go through the CAO or local LIHEAP Crisis Contractor.

A housing unit will not be eligible for Crisis if:

1) The housing unit was purchased or rented without a heating system.
2) The housing unit is unoccupied.
3) The housing unit is not a primary residence.
4) The housing unit has been condemned or deemed uninhabitable by local, state, or federal authorities.
5) It is a manufactured home moved to a location that does not allow its heating system's current fuel type.

A housing unit may not be eligible for Crisis services but may be considered on a case by case basis if the following is true:

1) The heating appliance isn't installed and operating based on the manufacturer's specifications or current code requirements, whichever is more stringent, and isn't following all applicable building and fire codes.
2) The heating appliance has not been operating within the last two heating seasons from the date of application. A furnace that has not been working for that long of a period of time cannot be considered to be a weather-related emergency. The applicant must provide proof of the home heating **emergency**.
3) Fuel type/source is changed by landlord.
4) Home is in foreclosure process.

III. Referral Procedures

Within 24 hours of determination of eligibility, the CAO or Crisis Contractor will send a referral to the local Weatherization Agency via fax or email. The Weatherization Agency then will evaluate the situation and may require an on-site visit to ascertain the needs of the household. Weatherization Agency staff will discuss the time-lines of the Crisis resolution with the household and offer the use of an electric auxiliary heater. The results of that discussion will be documented. Weatherization Agency staff will notify the CAO or Crisis Contractor after the course of action has been determined.

IV. Weatherization Program Responsibilities

It is the responsibility of the Weatherization Agency to address the crisis within 48 hours or, if the client is in a life-threatening situation, within 18 hours. This does not mean that the repair must be made within 48 (or 18) hours. Instead, the Weatherization Agency is responsible to document that Weatherization Agency staff have discussed with the household time-frames needed to complete the necessary repairs or replacement of the heating system. The staff must also resolve that the household has a safe place to go until the immediate crisis is over or was provided an electric auxiliary heater for use until the crisis has been resolved. These actions do not absolve the Weatherization Agency's responsibility to resolve the actual crisis at the earliest possible date, although resolution to the crisis may, in some circumstances, be confined to providing a warm room within the home.

The measures for which Weatherization Agencies will be responsible under the LIHEAP Crisis program are as follows:

- Repair of heating system
- Loan of auxiliary heater
- Repair of gas or other fuel lines
- Replacement of un-repairable heating systems
- Repair of hot water heating system
- Heating system pipe thawing service
- Repair of broken windows
- Provide blankets

The purchase of a new heating system is only allowable if documentation is provided that the heating system cannot be repaired or repairs will correct the problem only temporarily. The repair of a water heating system, including repair of water pumps and accessories, is only allowable if the system is essential for producing home heat. The repair of broken windows is only allowable if the heating system is also being repaired or replaced.

Weatherization Agencies will provide client education regarding all weatherization and conservation measures completed. Weatherization Agencies will also provide a client complaint procedure for Crisis Interface clients.

V. Client Responsibilities

The client or their designated proxy is responsible for being available to sign off on client education and all other weatherization and conservation measures completed. Client agreement is also needed regarding the receipt and understanding of the information provided about the care and maintenance of their heating system including any auxiliary heat which may have been supplied on loan. The client or their designated proxy is responsible for signing off on the receipt of the client complaint procedures. If the client is the homeowner, the client must provide permission in writing for any and all work performed. The client or their proxy must be available to sign off on the final inspection and client satisfaction documents.

VI. Allowable Expenditures

A portion of the LIHEAP funds allocated for weatherization will be used to alleviate specific LIHEAP crises. All expenditures for allowable Crisis measures are to be paid from LIHEAP funds allocated to the WAP. There is no reimbursement required from the CAO or for any Crisis work performed by the Weatherization Agency.

VII. Rental Dwellings

Department of Health and Human Services' regulations require that owners and renters receive equitable treatment under the LIHEAP program. Therefore tenants, when referred, are considered eligible for Crisis services. However, on the basis of an implied warranty of habitability assumed by the landlord, prior to referral, appropriate action should be taken by the CAO to have furnace repair/replacement completed by the landlord. In all cases, prior written permission must be granted by the landlord to enter the premises to provide Crisis or Weatherization Services.

Department of Health and Human Services regulations allow LIHEAP benefits to only those households eligible under LIHEAP income guidelines; therefore, a heating system that supplies heat to those other than LIHEAP eligible clients (e.g., in a multi-unit dwelling) is not eligible for service under the LIHEAP Crisis component.

VIII. Subcontracting for Crisis Services

In order to maintain the greatest consistency with WAP guidelines, contractors under current subcontract agreement with the Weatherization Agency should be utilized to provide Crisis services.

However, due to the demand and emergency requirements of the Crisis program, it may be necessary to secure services from contractors not normally utilized and/or not currently under a subcontract with the Weatherization Agency. In this case, Weatherization Agencies are authorized to procure services from contractors on a temporary basis without entering into a formal subcontract agreement, provided that their qualifications have been reviewed and approved, and a cost/price analysis is performed to determine the reasonableness of compensation requested by the contractor. These temporary subcontractors must meet the lead safe work practice and OSHA requirements, carry proper licensing and/or certifications, carry appropriate and sufficient insurance, and be able to provide all the required documentation for the work they perform. All DCED procurement procedures must be followed when selecting subcontractors and deciding to subcontract on a long term basis with subcontractors who have been utilized on a temporary basis.

A client may request that a contractor of his/her choice provide Crisis services (e.g., those who have a service contract or a current fuel vendor). If, after review, the Weatherization Agency determines through its experience that a bid received in this manner is questionable, an additional bid must be secured and documented prior to approval.

All Crisis heating system installations performed by a contractor that is not normally affiliated with the WAP must be inspected prior to payment.

WEATHERIZATION ASSISTANCE PROGRAM COMPONENT

I. Introduction

The Energy Conservation in Existing Buildings Act of 1976, Title IV of the Energy Conservation and Production Act (referred to as "the Act"), authorized the Federal Energy Administration, now part of DOE, to establish a Weatherization Assistance Program to increase the energy efficiency of dwellings owned or occupied by low-income persons, reduce their total residential energy expenditures, and improve their health and safety, especially low-income persons who are particularly vulnerable such as the elderly, the handicapped, and children.

The program is intended to reduce national energy consumption and to reduce the impact of higher fuel costs on low-income families. Funds are provided to install a number of energy conservation measures such as building shell air-sealing, hot water conservation measures, attic and foundation insulation and oil and gas furnace modifications.

Funds are allocated by DOE, typically on a formula basis, determined by the relative need for weatherization assistance among the states. The formula takes into account the number of low-income households, the percentage of total residential energy used for space heating and cooling and the number of heating and cooling degree days in each state.

In the Commonwealth of Pennsylvania, the Secretary of DCED, as the designee of the governor, applies for, receives, and administers these funds. The funds are distributed by DCED to local governments and nonprofit organizations such as community action agencies.

It is the mission of the Weatherization Assistance Program of the Commonwealth of Pennsylvania to reduce energy consumption and cost in low-income households throughout Pennsylvania. PA WAP accomplishes this mission in thousands of homes throughout the commonwealth every year.

PA WAP also accomplishes its mission by training and certifying weatherization workers at local subgrantees to take a scientific approach to reducing energy usage in the home. These workers achieve this in two ways: First, workers perform an energy audit to determine which energy efficiency measures should be performed. The energy audit guides workers toward specific tasks like caulking around cracks, insulating the attic, or installing energy-efficient light bulbs. Second, workers provide client education to the home's residents. They show residents how to use the newly installed features, and more importantly, they teach them simple life-changing skills to save energy and money.

PA WAP weatherization workers install energy efficiency measures and provide client education to help Pennsylvania avoid the adverse effects of high energy costs on low-income citizens. Such adverse effects include a diminished ability to maintain utility services, including oil and coal deliveries, and a decreased capability to keep residences at temperatures necessary for health and comfort. As PA WAP continues to realize its mission, it is helping Pennsylvanians stay warm through the winter, save money on their energy bills, and take responsibility for living an energy-efficient lifestyle.

Each Federal fiscal year, a State Plan is required for continued participation in the program. As such, the State Plan establishes the number of homes to be weatherized within the limits of available resources, the specific energy conservation measures to be undertaken, eligibility requirements, projected energy savings, program implementation strategies and other program requirements. These requirements will apply to the LIHEAP portion of the Weatherization Assistance Program. The organization and content of the proposed plan are derived directly from DOE regulations as contained in the Federal Register, 10 CFR Part 440 Final Rule, published February 1, 2002, and subsequent DOE instructions.

Guidelines provided in the Weatherization Work Plan outline allowable costs for standard weatherization activities and health and safety abatement and provide a subgrantee budget format to appropriately allocate costs for these measures.

II. Production and Expenditure Schedule

DCED proposes to provide weatherization services to eligible households according to the prioritization procedures established in the DOE PA On-File Information (Master File) but when utilizing LIHEAP funds, may first give consideration to current LIHEAP or LIHEAP Crisis clients. Efforts to provide services to LIHEAP Clients may eventually alleviate their need to access LIHEAP funds and services. Societal benefits of Weatherization include reduction of energy costs for LIHEAP clients and manageable bill payment The health and safety of clients can be enhanced by utilizing community and other governmental resources and treating the home with a more holistic approach. For example, agencies are encouraged to coordinate with utility, lead abatement, and Healthy Homes programs when weatherizing a home. Upon request, consideration for increased agency allocations will be reviewed for this collaborative, holistic approach among agencies in a specified geographic area.

III. Average Cost Per Dwelling Unit

Weatherization costs are established at an average statewide expenditure that will not exceed $7,105 per unit; which includes cost for material, program support, and labor.

IV. Types of Weatherization Work to be Performed

All weatherization work performed in PA WAP by direct hires of the PA WAP network, as well as any subcontractor work, adheres to the Standard Work Specifications (SWS) for Home Energy Upgrades for Single Family, Multifamily, and/or Manufactured Homes, and as such, will be noted in the contractual requirements between the PA WAP agencies and their subcontractors. PA is transitioning to requiring a Standardized Whole-House Audit on every unit. In addition, the PA SWS Field Manual has been updated to include the SWS for the most common measures performed in PA and is coupled with Pennsylvania's state-specific guidance regarding policy and technical program requirements. It is due to be released in Fall 2016. All PA WAP weatherization workers are required to use PA's SWS Field Manual on the jobsite to reference the desired outcome of specific tasks as well as to ensure the installed measures are 100 percent compliant with the SWS. The SWS online tool is referenced in the PA SWS Field Manual and should be utilized for guidance on the SWS's that may not be addressed in the Field Manual. Webinars and trainings will be conducted for the use of the Standardized Whole-House Audit and the PA SWS Field Manual.

The Weatherization Assistance Program is designed to reduce energy consumption of dwellings through the installation of energy conservation measures approved by DCED, based on their savings-to-investment ratio or cost-effectiveness. Additional measures are approved and selected as incidental repairs necessary for the safe and effective installation of the energy conservation measures, to correct an existing health or safety problem or to assure health and safety in conjunction with the installation of the energy conservation measures.

Pennsylvania WAP has developed a Health and Safety Plan which is updated as needed and provides provisions for all health and safety measures and issues addressed by DOE's WPN 11-6. Pennsylvania will only install health and safety measures when the installation of weatherization measures necessitates a health and safety measure.

Subgrantees may use funds to abate energy-related health and safety hazards only if elimination of such hazards are necessary before, or as a result of, installation of weatherization materials. When spending LIHEAP funds, agencies have a set limit of 20% of the average cost per unit when addressing health and safety issues in the home.

The specific methodologies to accomplish the program measures are based, to an extent, on the condition and design of the dwelling. These methodologies are further directed on individual dwelling units through blower door guided analysis and air-sealing and inspection of the heating system.

Household treatment measures are to be selected for installation based on the Standardized Whole House Energy Audit results and their savings-to-investment ratio, taking into account:

- The structural, occupant or other considerations particular to the dwelling;
- The need and associated costs for installation of health and safety measures and/or incidental repairs;
- The contractual statewide average per-unit cost limits of the program.

The most cost effective and appropriate measures will be completed at every dwelling unit. Every dwelling unit will meet the National SWS.

V. Minimum Program Requirements

Minimum program requirements as outlined under 10 CFR 440.16 include the following subsections. These requirements remain unchanged from the previous year's State Plan. Eligibility is also based on the DCED Eligibility, Prioritization and Weatherization Service List Directive.

<u>Eligibility Criteria for Weatherization Services</u>

A dwelling unit shall be eligible for Weatherization assistance if a family unit occupies the unit as their primary residence:

- Has an income that is at or below 200 percent of the poverty level in accordance with criteria established by the Office of Management and Budget;

- Contains a member who has received cash assistance payments under

Title IV (AFDC) or Title XVI (SSI) of the Social Security Act or applicable state or local law at any time during the twelve (12)-month period preceding the determination of eligibility; or

In accordance with DOE program regulations, 200 percent of the Federal Poverty Income Guidelines is the determinant for income eligibility for all services provided under the Weatherization Assistance Program.

Weatherization Agencies may weatherize a building containing rental dwelling units wherein occupants meet the income eligibility requirements and where:

- Written permission of the owner or authorized agent is obtained; and

- Not less than 66 percent (50 percent for duplexes and four-unit buildings) of the dwelling units in a multi-family building are eligible dwelling units, or will become eligible dwelling units within 180 days under a Federal, State or local government program for rehabilitating the building; and

- An agreement is signed by both the owner/agent and tenant and witnessed by the Weatherization Agency to insure that for a reasonable period of time (not less than 18 months), the tenant(s) will not be subject to rent increases or eviction unless it can be demonstrated that it is related to matters other than the weatherization work performed; and

- No undue or excessive enhancement shall occur to the value of the dwelling units.

DCED will continue to weatherize rental dwelling units in accordance with DOE regulations as identified in this Plan and the DCED Weatherization Assistance Program Directives, Guidelines, and DOE PA WAP State Plan including the On-File Information (Master File).

<u>Re-weatherization of a dwelling unit is not allowable except:</u>

- If the unit has been damaged by fire, flood, or act of God and repair of the damage to weatherization materials is not paid for by insurance; or

- That dwelling units partially weatherized during the period September 30, 1975 through September 30, 1994, may receive further weatherization assistance. These units may be counted as completions for compliance with the per-home expenditure limit. Each dwelling unit must receive a new energy audit, which takes into account any previous energy conservation improvements.

VI. Resolution of Client Complaints and WAP Appeals Process

Client complaints and WAP appeals are to be dealt with in a timely manner, and any action taken toward resolution is to be adequately documented.

Procedure

The sub-grantee is required to develop and provide to the client a form that identifies three points of contact for the resolution of a Weatherization complaint and WAP appeal.

The document provided should indicate that these are progressive steps of notification and appeal and that they must first attempt to resolve the issue at the local level prior to involvement by the State.

Further, the information to be provided should be left with the client at the time of application. In this way, a problem that may arise at any point during the weatherization process, including income verification, may be dealt with through the complaint/WAP appeal procedure.

- The first point of contact is the weatherization program coordinator. He or she should document the contact and take necessary action to correct the problem if it is legitimate, or to inform the client of the Weatherization Agency's position on the issue.

- The second is the coordinator's supervisor or the executive director who will be responsible to assure that the appropriate follow-up action was taken, or if further action is required.

- The third is the field monitor assigned to the Weatherization Agency. Prior to any action by DCED, the field monitors will confirm that contact was made with the local Weatherization Agency in the manner described.

- If a complaint is resolved by the local Weatherization Agency, the nature of the complaint and the action taken to resolve the problem must be documented and maintained in the client file as well as an agency complaint log for easier access.

- If the complaint or WAP appeal reaches DCED, the monitoring supervisor and/or field monitor will make direct contact with both the client and the Weatherization Agency to assess the nature of the problem, establish responsibility and recommend corrective action if necessary in writing to the Weatherization Agency. Upon completion of the corrective action, the Weatherization Agency must provide written documentation to DCED.

- If the complaint involves work quality, the field monitor will inspect the unit prior to recommending corrective action.

- When the complaint involves an interpretation of program policy (e.g., income verification, liability, etc.) DCED will make a final determination and provide its

decision to the local Weatherization Agency. In some cases this could require involvement, consultation or a referral to DOE or the DCED's Legal Office.

DETAILED MODEL PLAN (LIHEAP)

Program Name: Low Income Home Energy Assistance
Grantee Name: PENNSYLVANIA
Report Name: DETAILED MODEL PLAN (LIHEAP) Revision # 1
Report Period: 10/01/2016 to 09/30/2017
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: 06/30/2017

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

*** 1.a. Type of Submission:** (•) Plan	*** 1.b. Frequency:** (•) Annual	*** 1.c. Consolidated Application/Plan/Funding Request?** **Explanation:**	*** 1.d. Version:** (•) Initial ( ) Resubmission ( ) Revision ( ) Update
		2. Date Received:	**State Use Only:**
		3. Applicant Identifier:	
		4a. Federal Entity Identifier:	**5. Date Received By State:**
		4b. Federal Award Identifier:	**6. State Application Identifier:**

7. APPLICANT INFORMATION

*** a. Legal Name:** Human Services, Pennsylvania Department Of

*** b. Employer/Taxpayer Identification Number (EIN/TIN):** 1-236003113-A1 | *** c. Organizational DUNS:** 796567790

*** d. Address:**

*** Street 1:**	P.O. BOX 2675	**Street 2:**	
*** City:**	HARRISBURG	**County:**	
*** State:**	PA	**Province:**	
*** Country:**	United States	*** Zip / Postal Code:**	17105 - 2675

e. Organizational Unit:

Department Name: Department of Human Services | **Division Name:** Division of Federal Programs and Program Management

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

Prefix:	*** First Name:** Nicole	**Middle Name:**	*** Last Name:** Silks
Suffix:	**Title:** Director	**Organizational Affiliation:**	
*** Telephone Number:** (717) 772-7923	**Fax Number**	*** Email:** nsilks@pa.gov	

*** 8a. TYPE OF APPLICANT:**
A: State Government

b. Additional Description:

*** 9. Name of Federal Agency:**

	Catalog of Federal Domestic Assistance Number:	CFDA Title:
10. CFDA Numbers and Titles	93568	Low-Income Home Energy Assistance

11. Descriptive Title of Applicant's Project

12. Areas Affected by Funding:

13. CONGRESSIONAL DISTRICTS OF:

*** a. Applicant** 4 | **b. Program/Project:** Statewide

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

14. FUNDING PERIOD:		15. ESTIMATED FUNDING:	
a. Start Date: 10/01/2016	**b. End Date:** 09/30/2017	*** 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?**

○ YES

◉ NO

Explanation:

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

****I Agree** ☑

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

18a. Typed or Printed Name and Title of Authorized Certifying Official Jeremy Pahl	**18c. Telephone (area code, number and extension)** (717) 772-7920 **18d. Email Address** jpahl@pa.gov
18b. Signature of Authorized Certifying Official E-sign	**18e. Date Report Submitted (Month, Day, Year)** 09/26/2016

Attach supporting documents as specified in agency instructions.

Section 1 - Program Components

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

August 1987, revised 05/92,02/95,03/96,12/98,11/01
OMB Clearance No.: 0970-0075
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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 20447

August 1987, revised 05/92, 02/95, 03/96, 12/98, 11/01
OMB Approval No. 0970-0075
Expiration Date: 02/28/2005

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**
☑	**Heating assistance**	11/01/2016	03/31/2017
☐	**Cooling assistance**		
☑	**Crisis assistance**	11/01/2016	03/31/2017
☑	**Weatherization assistance**	10/01/2016	09/30/2017

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	45.00%
Cooling assistance	0.00%
Crisis assistance	30.00%
Weatherization assistance	15.00%
Carryover to the following federal fiscal year	0.00%
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%
TOTAL	100.00%

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

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

☑	**Heating assistance**	☐	**Cooling assistance**
☐	**Weatherization assistance**	☑	**Other (specify:)** Crisis season will last until 3/31/17 or longer and possible use of any remaining funds as carryover for the next LIHEAP season up to the 10% allowable by LIHEAP regulations.

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	○ Yes ○ No	○ Yes ○ No	○ Yes ○ No	○ Yes ○ No
SSI	○ Yes ○ No	○ Yes ○ No	○ Yes ○ No	○ Yes ○ No
SNAP	○ Yes ◉ No	○ Yes ○ No	○ Yes ○ No	○ Yes ○ No
Means-tested Veterans Programs	○ Yes ○ No	○ Yes ○ No	○ Yes ○ No	○ Yes ○ No

	Program Name	Heating	Cooling	Crisis	Weatherization
Other(Specify) 1		○ Yes ○ No	○ Yes ○ No	○ Yes ○ No	○ Yes ○ 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: $21.00

1.7c Frequency of Assistance

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

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

Heat and eat payment amounts will vary between $21 and $24 with clients living in colder heating regions and with larger household size receiving higher benefits.

To ensure the SNAP household that is receiving a Heat & Eat benefit has an energy need, logic has been built into the SNAP and LIHEAP processing system. The following SNAP households will not receive a Heat & Eat benefit:

- Any household that is currently receiving the Heating Standard Utility Allowance (HSUA).
- Any household that has received LIHEAP in the current season.
- Any household that has zero net income.
- PA CAP households;
- Households receiving nursing home care;
- Households who are homeless;
- Households receiving extended SNAP benefits;
- Households living in a facility and not having a heating responsibility

This logic helps ensure that the households receiving this benefit all have an energy need and haven't already received a LIHEAP benefit.

Determination of Eligibility - Countable Income

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

☑	**Gross Income**

☐	**Net Income**

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

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

☑	**Insurance payments made directly to the insured**
☑	**Insurance payments made specifically for the repayment of a bill, debt, or estimate**
☑	**Veterans Administration (VA) benefits**
☐	**Earned income of a child under the age of 18**
☐	**Balance of retirement, pension, or annuity accounts where funds cannot be withdrawn without a penalty.**
☐	**Income tax refunds**
☐	**Stipends from senior companion programs, such as VISTA**
☐	**Funds received by household for the care of a foster child**
☐	**Ameri-Corp Program payments for living allowances, earnings, and in-kind aid**
☐	**Reimbursements (for mileage, gas, lodging, meals, etc.)**
☐	**Other**

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

Section 2 - HEATING ASSISTANCE

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
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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 componenet:

Add	Household size	Eligibility Guideline	Eligibility Threshold
1	All Household Sizes	HHS Poverty Guidelines	150.00%

2.2 Do you have additional eligibility requirements for HEATING ASSITANCE?	(•) Yes ( ) No
2.3 Check the appropriate boxes below and describe the policies for each.	
Do you require an Assets test ?	( ) Yes (•) No
Do you have additional/differing eligibility policies for:	
Renters?	( ) Yes (•) No
Renters Living in subsidized housing ?	(•) Yes ( ) No
Renters with utilities included in the rent ?	( ) Yes (•) No
Do you give priority in eligibility to:	
Elderly?	( ) Yes (•) No
Disabled?	( ) Yes (•) No
Young children?	( ) Yes (•) No
Households with high energy burdens ?	( ) Yes (•) No
Other?	( ) Yes (•) No

Explanations of policies for each "yes" checked above:

Renters, including subsidized-housing tenants, are ineligible if their rental charge includes an undesignated amount for heat and is based on a fixed percentage of their income or on their source of income. **NOTE:** If a household in subsidized housing, which pays for rent and utilities as a fixed portion of its income, becomes responsible for payment to a vendor, either in full or in part, for its primary heating costs, that household then becomes eligible for a cash benefit, if otherwise eligible. If a household in subsidized housing, which pays for rent and utilities as a fixed portion of its income, becomes responsible for payment to a vendor, either in full or in part, for its primary or secondary heating costs, that household then becomes eligible for a crisis benefit, if otherwise eligible.

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

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

A supplemental cash benefit will be issued to vulnerable households who qualify for a LIHEAP cash grant. A vulnerable household is defined as a household containing at least one member who is elderly (age sixty or over), disabled, or age five and under. The age of the household members is determined by their age at the time their LIHEAP cash application is processed.

Supplemental payments will be issued cumulatively, based upon the composition of the household, in the following amounts:

- $50 if the household contains someone age sixty or over
- $50 if the household contains an individual with a disability
- $75 if the household contains a child age five or under

A household meeting all three criteria above can receive a maximum supplement of $175. An individual can only be counted for one criterion.

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

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

Eligible roomers and renters who pay for heat indirectly for their residence as an undesignated part of the rent will receive 50 percent of the LIHEAP cash benefit for which they would otherwise qualify.

Our benefit charts are available to the public on the DHS website. They are updated at the start of the new season.

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

2.6 Describe estimated benefit levels for FY 2017:

Minimum Benefit	$200	**Maximum Benefit**	$1,000

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

If yes, describe.

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

Section 3 - COOLING ASSISTANCE

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

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 componenet:

Add	Household size	Eligibility Guideline	Eligibility Threshold
1			0.00%

3.2 Do you have additional eligibility requirements for COOLING ASSITANCE?	◯ Yes ◯ No
3.3 Check the appropriate boxes below and describe the policies for each.	
Do you require an Assets test ?	◯ Yes ◯ No
Do you have additional/differing eligibility policies for:	
Renters?	◯ Yes ◯ No
Renters Living in subsidized housing ?	◯ Yes ◯ No
Renters with utilities included in the rent ?	◯ Yes ◯ No
Do you give priority in eligibility to:	
Elderly?	◯ Yes ◯ No
Disabled?	◯ Yes ◯ No
Young children?	◯ Yes ◯ No
Households with high energy burdens ?	◯ Yes ◯ No
Other?	◯ Yes ◯ No
Explanations of policies for each "yes" checked above:	
3.4 Describe how you prioritize the provision of cooling assistance tovulnerable 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 2017:

Minimum Benefit	$0	**Maximum Benefit**	$0

3.7 Do you provide in-kind (e.g., fans, air conditioners) and/or other forms of benefits? ○ Yes ○ No
If yes, describe.
If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
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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	150.00%

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

(1) The household shall meet the general eligibility requirements under §601.31 (relating to general eligibility requirements), income limit, responsibility for heating costs, Pennsylvania residency and lawfully admitted non-citizen status.

(2) The household shall be without heat or in imminent danger of being without heat because of a weather-related or energy-supply-shortage emergency.

(3) The household shall be eligible for a crisis benefit that, alone or combined with other resources available to the applicant household, will resolve the home-heating emergency. If a household is authorized for the LIHEAP Cash component before the date of their request for Crisis benefits, any existing credit including the LIHEAP Cash component that has been authorized and not yet received is considered to be available and must be used first for the resolution of the crisis.

(4) The applicant must provide proof of the home-heating emergency

Crisis benefits for energy-supply-shortage emergencies include payment for the following:

1. Home-heating fuel for a household that is out of fuel or if the heating fuel supply will last less than 15 calendar days. The payment may be for either the main or secondary fuel type and may include the cost of an added charge for off-hours delivery service. The payment amount will not exceed the cost of the delivery; including any necessary reconnect fees and/or minor furnace start-up costs. Any credit balance with the household's vendor, including LIHEAP funds that have been authorized and not yet received, will be deemed available to resolve the crisis and will be deducted from the household's benefit amount.

2. Utility bills to restore or continue home-heating service if the household is without heat or in imminent danger of being without heat because of actual or scheduled termination of the main or secondary source of heat by a utility company. The payment may include the charge, if required, for a service reconnection.

NOTE: Crisis benefits may be approved in this instance based on issuance of a termination notice. The following applies:

(A) For utilities regulated by a governing body such as the Public Utility Commission (PUC), winter termination procedures prevent the termination of service without the governing body's approval from December 1 through March 31. Regulated utilities may still issue termination notices from December 1 through March 31. They cannot, however, act on these notices to terminate service without having been granted permission to terminate service by the governing body. In these situations, contact must be made with the utility to determine if the governing body has granted the utility permission to terminate service for the applicant household before crisis benefits may be authorized to relieve the emergency. The household is ineligible for crisis benefits if the utility has not been granted approval to terminate service.

(B) For utilities not regulated by a governing body, a termination notice means that the utility has established a date when service will actually terminate, in accordance with the utility's current termination procedures. Documentation of the termination notice must be provided before crisis benefits may be authorized to relieve the emergency.

4.3 What constitutes a <u>life-threatening crisis?</u>

This must be a documented medical emergency. The local County Assistance Office (CAO) would either need to already have on file or the household would need to provide documentation from a doctor that someone in specific in the household would be in a life-threatening emergency if the household was without heat due to a specific medical condition. The CAO could also verify this information via collateral contact with the doctor as well.

Crisis Requirement, 2604(c)

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

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

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

4.6 Do you have additional eligibility requirements for CRISIS ASSISTANCE?	(•) Yes ( ) No
4.7 Check the appropriate boxes below and describe the policies for each	
Do you require an Assets test ?	( ) Yes (•) No
Do you give priority in eligibility to :	
Elderly?	( ) Yes (•) No
Disabled?	( ) Yes (•) No
Young Children?	( ) Yes (•) No
Households with high energy burdens?	( ) Yes (•) No
Other?	( ) Yes (•) No
In Order to receive crisis assistance:	
Must the household have received a shut-off notice or have a near empty tank?	(•) Yes ( ) No
Must the household have been shut off or have an empty tank?	(•) Yes ( ) No
Must the household have exhausted their regular heating benefit?	( ) Yes (•) No
Must renters with heating costs included in their rent have received an eviction notice ?	( ) Yes (•) No
Must heating/cooling be medically necessary?	( ) Yes (•) No
Must the household have non-working heating or cooling equipment?	( ) Yes (•) No
Other?	( ) Yes (•) No
Do you have additional / differing eligibility policies for:	
Renters?	( ) Yes (•) No
Renters living in subsidized housing?	(•) Yes ( ) No
Renters with utilities included in the rent?	( ) Yes (•) No

Explanations of policies for each "yes" checked above:

Crisis benefits for energy-supply-shortage emergencies include payment for the following two items:

1. Home-heating fuel for a household that is out of fuel or if the heating fuel supply will last less than 15 calendar days. The payment may be for either the main or secondary fuel type and may include the cost of an added charge for off-hours delivery service. The payment amount will not exceed the cost of the delivery; including any necessary reconnect fees and/or minor furnace start-up costs. Any credit balance with the household's vendor, including LIHEAP funds that have been authorized and not yet received, will be deemed available to resolve the crisis and will be deducted from the household's benefit amount.

2. Utility bills to restore or continue home-heating service if the household is without heat or in imminent danger of being without heat because of actual or scheduled termination of the main or secondary source of heat by a utility company. The payment may include the charge, if required, for a service reconnection.

NOTE: Crisis benefits may be approved in this instance based on issuance of a termination notice. The following applies:

(A) For utilities regulated by a governing body such as the Public Utility Commission (PUC), winter termination procedures prevent the termination of service without the governing body's approval from December 1 through March 31. Regulated utilities may still issue termination notices from December 1 through March 31. They cannot, however, act on these notices to terminate service without having been granted permission to terminate service by the governing body. In these situations, contact must be made with the utility to determine if the governing body has granted the utility permission to terminate service for the applicant household before crisis benefits may be authorized to relieve the emergency. The household is ineligible for crisis benefits if the utility has not been granted approval to terminate service.

(B) For utilities not regulated by a governing body, a termination notice means that the utility has established a date when service will actually terminate, in accordance with the utility's current termination procedures. Documentation of the termination notice must be provided before crisis benefits may be authorized to relieve the emergency.

Renters, including subsidized-housing tenants, are ineligible if their rental charge includes an undesignated amount for heat and is based on a fixed percentage of their income or on their source of income. **NOTE:** If a household in subsidized housing, which pays for rent and utilities as a fixed portion of its income, becomes responsible for payment to a vendor, either in full or in part, for its primary heating costs, that household then becomes eligible for a cash benefit, if otherwise eligible. If a household in subsidized housing, which pays for rent and utilities as a fixed portion of its income, becomes responsible for payment to a vendor, either in full or in part, for its primary or secondary heating costs, that household then becomes eligible for a crisis benefit, if otherwise eligible.

When utilities are included in the rent, individuals are only eligible for crisis grants for their secondary source of fuel.

In addition to the LIHEAP Cash and Crisis program, DHS may operate a separate turn-on program in cooperation with regulated utilities to assist LIHEAP eligible households in having their utility service restored prior to the start of FFY 2018. Receipt of a grant from the turn-on program is separate and in addition to any grants the household may receive from either the Cash or Crisis program.

Determination of Benefits

4.8 How do you handle crisis situations?

☑	**Separate component**
☐	**Fast Track**
☐	**Other - Describe:**

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

☑	**Amount to resolve the crisis.**
☑	**Other - Describe:** Amount to resolve crisis up to a maximum of $500.

Crisis Requirements, 2604(c)

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

◉ Yes ○ No **Explain.**

There is an assistance office in every county in Pennsylvania. Some of the counties with a larger population have more than one office. Applicants can always apply online at the COMPASS website, or if they have already received LIHEAP cash they can apply by phone as well.

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?

Individuals can apply on the COMPASS website online. If they are already approved for a LIHEAP Cash grant, they can also call their assistance office to apply for crisis benefits.

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

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

Winter Crisis	$500.00	**maximum benefit**
Summer Crisis	$0.00	**maximum benefit**
Year-round Crisis	$0.00	**maximum benefit**

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

◉ Yes ○ No **If yes, Describe**

Crisis weatherization can provide these types of benefits, and if they run out of funding Crisis will provide in-kind benefits.

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	☐	☐	☐
Heating system replacement	☐	☐	☐
Cooling system repair	☐	☐	☐
Cooling system replacement	☐	☐	☐
Wood stove purchase	☐	☐	☐
Pellet stove purchase	☐	☐	☐
Solar panel(s)	☐	☐	☐
Utility poles / gas line hook-ups	☐	☐	☐
Other (Specify):	☐	☐	☐

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.

For utilities regulated by a governing body such as the Public Utility Commission (PUC), winter termination procedures prevent the termination of service without the governing body's approval from December 1 through March 31. Regulated utilities may still issue termination notices from December 1 through March 31. They cannot, however, act on these notices to terminate service without having been granted permission to terminate service by the governing body. In these situations, contact must be made with the utility to determine if the governing body has granted the utility permission to terminate service for the applicant household before crisis benefits may be authorized to relieve the emergency. The household is ineligible for crisis benefits if the utility has not been granted approval to terminate service.

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

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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. PA Department of Community and 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:**
- [x] **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.**
  - [x] **Other - Describe:**

Twenty percent of the average cost per unit can be used for Health and Safety costs.

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?	(•) Yes ( ) No
Young Children?	(•) Yes ( ) No

House holds with high energy burdens?	(•) Yes ( ) No
Other? Households with high energy use	(•) Yes ( ) No

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

After the clients have been added to the Weatherization Service List to receive services, the clients are prioritized based on a point system which gives different point values based on the client information. The categories of elderly, children, disabled, high energy use and high energy burden all receive additional points and the list is developed with the clients with the highest priority points receiving services first.

Benefit Levels

5.9 Do you have a maximum LIHEAP weatherization benefit/expenditure per household? ( ) Yes (•) No

5.10 If yes, what is the maximum? $0

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

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

[x] **Weatherization needs assessments/audits**	[ ] **Energy related roof repair**
[x] **Caulking and insulation**	[ ] **Major appliance Repairs**
[x] **Storm windows**	[x] **Major appliance replacement**
[x] **Furnace/heating system modifications/ repairs**	[x] **Windows/sliding glass doors**
[x] **Furnace replacement**	[x] **Doors**
[ ] **Cooling system modifications/ repairs**	[x] **Water Heater**
[x] **Water conservation measures**	[ ] **Cooling system replacement**
[x] **Compact florescent light bulbs**	[x] **Other - Describe:** Health and Safety measures such as installing CO and smoke detectors, code compliance, minor plumbing, electrical, roof or flooring repairs, minor drainage, gutters and downspouts, removal of unvented space heaters, etc.

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.

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

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

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

Our application and flyers are available in Spanish and translation services for other languages are available upon request. We also provide reproducible public education materials to utility companies and fuel vendors, upon request, for use in such ways as bill messages.

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 - Coordniation, 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.).

☐	**Joint application for multiple programs**
☑	**Intake referrals to/from other programs**
☑	**One - stop intake centers**
☐	**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 8 - Agency Designation,, 2605(b)(6) - Assurance 6

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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?

☐	**Administration Agency**
☐	**Commerce Agency**
☐	**Community Services Agency**
☐	**Energy / Environment Agency**
☐	**Housing Agency**
☑	**Welfare Agency**
☐	**Other - Describe:**

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

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

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

Applications are mailed to households that received assistance the previous year. Clients who have applied previously through the COMPASS website will receive a postcard through the mail directing them to apply online. Applicants in select counties who have previously received LIHEAP will also receive COMPASS postcards. Paper applications are always available upon request.

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?

Applications are mailed to households that received assistance the previous year. Clients who have applied previously through the COMPASS website will receive a postcard through the mail directing them to apply online. Applicants in select counties who have previously received LIHEAP will also receive COMPASS postcards. Paper applications are always available upon request.

8.5 LIHEAP Component Administration.	**Heating**	**Cooling**	**Crisis**	**Weatherization**
8.5a Who determines client eligibility?	State Welfare Agency		State Welfare Agency	State Energy/Environment Agency
8.5b Who processes benefit payments to gas and electric vendors?	State Welfare Agency		State Welfare Agency	
8.5c who processes benefit payments to bulk fuel vendors?	State Welfare Agency		State Welfare Agency	
8.5d Who performs installation of weatherization measures?				Community Action Agencies 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?

Agencies are selected based on their ability to meet the requirements of the program and expertise in providing crisis weatherization and standard weatherization services.

Agencies contracts are renewed based on preformance results, if an agency does not have their contract renewed, one of the existing agencies that participate in this program will take over the area covered by the agency that was removed.

8.7 How many local administering agencies do you use? 37

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

- (●) Yes
- ( ) No

8.9 If so, why?

☐	**Agency was in noncompliance with grantee requirements for LIHEAP -**
☐	**Agency is under criminal investigation**
☐	**Added agency**
☑	**Agency closed**
☐	**Other - describe**

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

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August 1987, revised 05/92,02/95,03/96,12/98,11/01
OMB Clearance No.: 0970-0075
Expiration Date: 04/30/2014

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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.

Pay client directly in the following situations:

- Vendor refuses to participate in the LIHEAP program or has been removed from the list of participating vendors
- The household pays for heat as an undesignated part of rent
- The heating bill is in the name of a non-household member
- Third-party billing
- Applicant is a roomer. A roomer is defined as an individual whose payment for lodging in a room includes heat and may include a private bathroom or one of the following: board, kitchen or bathroom privileges on a shared basis, or light housekeeping duties.

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

Beginning from the program start date, the LIHEAP administering agency will send the applicant a written notice of the decision on eligibility within 30 days of the date of application.

(1) The written notice will include an explanation of fair hearing rights and procedures.

(2) The written notice will include the following:

(i) If eligible. If the household is eligible, the written notice will include the type and amount of the benefit and the names of the payee.

(ii) If ineligible. If the household is ineligible, the written notice will indicate the reason for the decision of ineligibility and provide a reference to the regulatory basis for the decision of ineligibility.

DHS will give households that register for or access their "MyCOMPASSAccount" online the option to receive notices electronically instead of through traditional paper mail. Households that opt to receive electronic notices will be required to electronically sign a disclosure statement in which they agree to receive and read the electronic notices sent by the State agency. Users who opt to receive electronic notices must provide a valid email address, and the State agency will verify the email address provided by the user. Once the user is registered to receive electronic notices, he or she will receive a confirmation e-mail and a hard copy paper notice with instructions on how to login to their account to view notices.

When a notice is available electronically, the household will receive an e-mail notification with a link to the client's "MyCOMPASSAccount," where the household can login to view the notice. MyCOMPASSAccount is on a secure website that will protect the household's information through browser encryption, user name and password, time-out feature, and security questions.

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?

Home energy suppliers must sign a Vendor Agreement with the Department agreeing to this condition.

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?

Home energy suppliers must sign a Vendor Agreement with the Department agreeing to this condition.

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.

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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?

The Agency monitors and tracks LIHEAP funds in several different ways to ensure fiscal accounting and tracking of LIHEAP funds. The following is an overview of our procedures.

Application Monitoring Procedures: All applications approved at the local agency level and forwarded for payment will be submitted for all computerized eligibility checks before payment is made.

The computerized checking process includes:

a. Check for duplicate Social Security Numbers in existing DHS systems;

b. Verify Social Security Numbers, Social Security benefit amounts, and death information through data exchange with the Social Security Administration;

c. Verify Supplemental Security Income payments through the State Data Exchange (SDX);

d. Check for criminal information on all household members through data exchange with the Commonwealth Judicial Information System;

e. Check on family size and income;

f. Check for cash payment above $1,000;

g. Check for crisis payment below $25;

h. Check for total crisis payment above $500; and

i. Determination of payment;

• All fields must contain acceptable established elements (characters or numbers);

• All required fields must be completed.

Agency Monitoring Procedures:

1. The first step of the agency's monitoring strategy begins at the County Assistance Office (CAO).

- CAO staff members, involved in determining LIHEAP eligibility are mandated to participate in weekly Knowledge Reinforcement Sessions. Each LIHEAP Knowledge Reinforcement Session (LKRS) is 6 to 7 slides in length with 5 questions which must be answered correctly in order to complete the session. The sessions reinforce policy and procedural issues that are error prone based on monitoring findings.
- CAO supervisors complete reviews of LIHEAP applications using a review tool designed to guide the reviewer and accumulate meaningful statewide results. CAO supervisors and managers as well as staff in the Bureau of Program Evaluation (BPE) monitor the results of the supervisor reviews to identify trends and implement corrective actions.
- Telephone conferences, referred to as Friday calls, are held initially weekly, then biweekly, to provide the counties with real-time system, policy and operational updates that impact the LIHEAP workflow. The calls also provide a means for CAOs to get answers to questions or resolutions to issues encountered.
- Both the CAOs and the monitoring staff communicate with the Policy team through the LIHEAP Training and Policy mailbox to address questions and issues on a daily basis as they arise. The shared responses ensure a uniform interpretation and consistent application of regulations throughout the agency.

2. For the second step of the agency's monitoring strategy BPE coordinates the annual LIHEAP monitoring reviews of CAOs and Crisis Contractors based on a two-year schedule for the CAOs. Additional CAOs are reviewed, as needed, based on extenuating circumstances or the recommendation of the Bureau of Operations. LIHEAP

reviews are completed by a field-based monitoring team. Monitoring activities include:

- CAO and Crisis Contractor administration of LIHEAP activities including eligibility, benefit determination and corrective action through LIHEAP application reviews and on-site visits.
- Over 2,600 LIHEAP applications are randomly selected through data mining techniques and random samples and reviewed annually.
- Independent audit on-site reviews to reduce potential bias in the monitoring process.
- Investigation and appropriate and timely escalation of information that suggests potential misuse, misrepresentation, or abuse.
- Issuance of preliminary and updated performance reports to CAOs to provide relevant data on accuracy and the composition of findings at both the county level and state level.
- Development of corrective action plans based on the findings from the monitoring team. The plans are implemented by OIM and monitored for compliance by BPE.
- Development and implementation of year-round program changes to increase program accuracy and integrity through collaboration with other bureaus. Examples include working with Staff Development in the development of LIHEAP training for the next LIHEAP season to incorporate situations found to be prone to error.

Additional monitoring procedures include the following:

- Bureau of Financial Operations provides OIM with technical assistance and conducts performance audits of specific CAOs and crisis contractors, as needed, to resolve systemic problems.
- Controls are built into the PROMISe™ system which vendors use to bill for LIHEAP Crisis claims to ensure the vendors bill for valid Crisis requests and are paid the amount they are authorized to receive.
- The vendor unit assists heating vendors by answering questions, helping to file Crisis claims in PROMISe™, and reviewing vendor transactions.
- Executive Staff from the Bureaus of Policy, Program Support, and Program Evaluation meet on a weekly basis to discuss LIHEAP and all issues and topics pertinent to the program.
- Bureau of Policy reviews a list of direct pay authorizations every Friday to ensure that the budgets are being authorized correctly and accurately.
- The Comptroller's Office reviews the weekly LIHEAP vouchers for any questionable payments and works with OIM to ensure all payments issued to households are correct.

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				

10.4. Audits of Local Administering Agencies

What types of annual audit requirements do you have in place for local adminstering 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:**

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d. Check for criminal information on all household members through data exchange with the Commonwealth Judicial Information System;

e. Check on family size and income;

f. Check for cash payment above $1,000;

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h. Check for total crisis payment above $500; and

i. Determination of payment;

• All fields must contain acceptable established elements (characters or numbers);

• All required fields must be completed.

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1. The first step of the agency's monitoring strategy begins at the County Assistance Office (CAO).

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- CAO supervisors complete reviews of LIHEAP applications using a review tool designed to guide the reviewer and accumulate meaningful statewide results. CAO supervisors and managers as well as staff in the Bureau of Program Evaluation (BPE) monitor the results of the supervisor reviews to identify trends and implement corrective actions.
- Telephone conferences, referred to as Friday calls, are held initially weekly, then biweekly, to provide the counties with real-time system, policy and operational updates that impact the LIHEAP workflow. The calls also provide a means for CAOs to get answers to questions or resolutions to issues encountered.
- Both the CAOs and the monitoring staff communicate with the Policy team through the LIHEAP Training and Policy mailbox to address questions and issues on a daily basis as they arise. The shared responses ensure a uniform interpretation and consistent application of regulations throughout the agency.

2. For the second step of the agency's monitoring strategy BPE coordinates the annual LIHEAP monitoring reviews of CAOs and Crisis Contractors based on a two-year schedule for the CAOs. Additional CAOs are reviewed as needed based on extenuating circumstances or the recommendation of the Bureau of Operations. LIHEAP reviews are completed by a field-based monitoring team. Monitoring activities include:

• CAO and Crisis Contractor administration of LIHEAP activities including eligibility, benefit determination and corrective action through LIHEAP application reviews and on-site visits.

• Over 2,600 LIHEAP applications are randomly selected through data mining techniques and random samples and reviewed annually.

• Independent audit on-site reviews to reduce potential bias in the monitoring process.

• Investigation and appropriate and timely escalation of information that suggests potential misuse, misrepresentation, or abuse.

• Issuance of preliminary and updated performance reports to CAOs to provide relevant data on accuracy and the composition of findings at both the county level and state level.

• Development of corrective action plans based on the findings from the monitoring team. The plans are implemented by OIM and monitored for compliance by BPE.

• Development and implementation of year-round program changes to increase program accuracy and integrity through collaboration with other bureaus. Examples include working with Staff Development in the development of LIHEAP training for the next LIHEAP season to incorporate situations found to be prone to error.

Additional monitoring procedures include the following:

- Bureau of Financial Operations provides OIM with technical assistance and conducts performance audits of specific CAOs and crisis contractors, as needed, to resolve systemic problems.
- Controls are built into the PROMISe™ system which vendors use to bill for LIHEAP Crisis claims to ensure the vendors bill for valid Crisis requests and are paid the amount they are authorized to receive.
- The vendor unit assists heating vendors by answering questions, helping to file Crisis claims in PROMISe™, and reviewing vendor transactions.
- Executive Staff from the Bureaus of Policy, Program Support, and Program Evaluation meet on a weekly basis to discuss LIHEAP and all issues and topics pertinent to the program.
- Bureau of Policy reviews a list of direct pay authorizations every Friday to ensure that the budgets are being authorized correctly and accurately.
- The Comptroller's Office reviews the weekly LIHEAP vouchers for any questionable payments and works with OIM to ensure all payments issued to households are correct.

Local Adminstering Agencies / District Offices:

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

- Per the current visit plan, medium, large, and ad-hoc counties are visited in addition to the crisis contractors.
- Agencies are visited in accordance with the established schedule, prior year results and OIM concerns.
- Rushmore Case Review Database is used for LIHEAP Monitoring by both the monitoring team and the CAOs.
- Per the current visit plan, small processing agencies are monitored by desk review.
- The provided database is used by both the CAOs and the LIHEAP monitoring team.
- Weekly knowledge reinforcement sessions are in place for all staff processing LIHEAP applications.

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

For the agency's monitoring strategy, BPE coordinates the annual LIHEAP monitoring reviews of CAOs and Crisis Contractors based on a two-year schedule for the CAOs. Additional CAOs are reviewed~~,~~ as needed~~,~~ based on extenuating circumstances or the recommendation of the Bureau of Operations. LIHEAP reviews are completed by a field-based monitoring team. Monitoring activities include:

• CAO and Crisis Contractor administration of LIHEAP activities including eligibility, benefit determination and corrective action through LIHEAP application reviews and on-site visits.

• Over 2,600 LIHEAP applications are randomly selected through data mining techniques and random samples and reviewed annually.

• Independent audit on-site reviews to reduce potential bias in the monitoring process.

• Investigation and appropriate and timely escalation of information that suggests potential misuse, misrepresentation, or abuse.

• Issuance of preliminary and updated performance reports to CAOs to provide relevant data on accuracy and the composition of findings at both the county level and state level.

• Development of corrective action plans based on the findings from the monitoring team. The plans are implemented by OIM and monitored for compliance by BPE.

• Development and implementation of year-round program changes to increase program accuracy and integrity through collaboration with other bureaus. Examples include working with Staff Development in the development of LIHEAP training for the next LIHEAP season to incorporate situations found to be prone to error.

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

Site Visits:

All agencies, aside from the largest processing locations are reviewed in a two year rotation. The largest processing locations are reviewed yearly. Size is determined by prior year volume. Some additional CAOs are reviewed, as needed, based on extenuating circumstances such as a change in processing style or prior year results.

Desk Reviews:

Small processing locations, defined as those processing less than 5000 applications yearly, are monitored by desk review.

10.8. How often is each local agency monitored ?

With the exceptions noted in 10.7, every two years.

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? 39

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

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

Section 11 - Timely and Meaningful Public Participation, , 2605(b)(12) - 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)**
- [x] **Public Hearing(s)**
- [x] **Draft Plan posted to website and available for comment**
- [x] **Hard copy of plan is available for public view and comment**
- [ ] **Comments from applicants are recorded**
- [x] **Request for comments on draft Plan is advertised**
- [x] **Stakeholder consultation meeting(s)**
- [ ] **Comments are solicited during outreach activities**
- [ ] **Other - Describe:**

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

The plan was changed to exclude all types of loans as a reslt of comments received.

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	07/05/2016	Philadelphia Public Hearing
2	07/07/2016	Harrisburg Public Hearing
3	07/12/2016	Pittsburgh Public Hearing

11.4. How many parties commented on your plan at the hearing(s)? 12

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

The document attached summarizes the comments received at the public hearings.

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

The plan was changed to exclude all types of loans as a result of comments received.

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? 3379

12.2 How many of those fair hearings resulted in the initial decision being reversed? 10

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.

- The client must appeal within 30 days from the date of the written notice of a CAO decision or action. They may appeal by completing and signing the appeal section of any notice, sending a written or faxed request to the CAO, telling the CAO and following it up with a written request within 3 days, or sending a written request to the agency which notified the client of the decision.
- The CAO/agency will offer the client and his representative the opportunity to have a prehearing conference. This conference may be by telephone or face-to face. A prehearing conference is an effort to resolve an issue between the client and the CAO/agency before going to a hearing. If the issue can be resolved at the prehearing conference, the work and expense of an appeal hearing can be eliminated. The prehearing conference does not affect the client's right to have a hearing and it does not affect the requirements for submitting requests timely to Bureau of Hearings and Appeals (BHA).
- The BHA will designate an Administrative Law Judge (ALJ) who has the authority to make a decision on an appeal. The Director of BHA will affirm, amend, reverse, or remand the decision. The CAO, administering agency, or provider agency is bound by the decision, but may request reconsideration by the Secretary of Human Services. Only the client has the right to appeal to Commonwealth Court.

12.5 When and how are applicants informed of these rights?

Applicants sign a certification page as a condition of application. It states, "I understand I have the right to appeal any decision or undue delay in decision which I consider improper regarding this application." The explanation of the right to appeal also appears on the notice they receive informing them of the decision on their request for benefits.

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

• The client may appeal by completing and signing the appeal section of any notice, sending a written or faxed request to the CAO, telling the CAO and following it up with a written request within 3 days, or sending a written request to the agency which notified the client of the decision.

• The CAO/agency will offer the client and his representative the opportunity to have a prehearing conference. This conference may be by telephone or face-to face. A prehearing conference is an effort to resolve an issue between the client and the CAO/agency before going to a hearing. If the issue can be resolved at the prehearing conference, the work and expense of an appeal hearing can be eliminated. The prehearing conference does not affect the client's right to have a hearing and it does not affect the requirements for submitting requests timely to Bureau of Hearings and Appeals (BHA).

• The BHA will designate an Administrative Law Judge (ALJ) who has the authority to make a decision on an appeal. The Director of BHA will affirm, amend, reverse, or remand the decision. The CAO, administering agency, or provider agency is bound by the decision, but may request reconsideration by the Secretary of Human Services. Only the client has the right to appeal to Commonwealth Court.

12.7 When and how are applicants informed of these rights?

Applicants sign a certification page as a condition of application. It states, "I understand I have the right to appeal any decision or undue delay in decision which I consider improper regarding this application." The explanation of the right to appeal also appears on the notice they receive informing them of the decision on their request for benefits.

If any of the above questions require further explanation or clarification that could not be made in the fields provided,

attach a document with said explanation here.

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?

In accordance with Pub. L. 97-35, Section 2605(b) as amended by Title III of the Health and Human Services Amendments of 1994, Pub. L. 103-252, Pennsylvania chooses not to exercise its option to use up to five percent of its allotment to provide services that encourage and enable households to reduce their home energy needs and thereby the need for energy assistance. The funds will be used for LIHEAP benefits to families.

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 ofdirect benefitsprovided 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

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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.

An email is sent to representatives from energy vendors, fuel funds and community agencies requesting them to complete the LIHEAP Leveraging Report for the previous fiscal year. We forward the directions as provided by the Department of Health and Human Services and provide assistance with completion of the form if necessary.

14.3 For each type of resource and/or benefit to be leveraged in the upcoming year that will meet the requirements of45 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	Customer Assistance Program or Energy Assistance Program - Arrearage forgiveness and reduced monthly payment	West Penn Power funds, Columbia Gas rates, Duquesne Light rates, Peoples Natural Gas Equitable Division rates, Metropolitan Edison rates, National Fuel funds, PECO rates, PENELEC rates, UGI Penn National Gas revenues, PGW rates, Peoples TWP rates, UGI Utilities rates, UGI Central Penn funds, UGI natural gas funds	iiiD Â discount/waiver program. LIHEAP eligibility is necessary.
2	Waiver of late payment charges	West Penn Power funds, Peoples Natural Gas rates, Duquesne Light funds, Metropolitan Edison funds, National Fuel funds, PECO funds, PENELEC funds, Penn Power funds, UGI Penn Natural Gas revenues, PGW rates, UGI Utilities funds	iiiD Â discount/waiver program. LIHEAP eligibility is necessary.
3	Waived security deposits	West Penn Power funds, Columbia Gas rates, PECO funds, Peoples Natural Gas rates, Duquesne Light revenues, National Fuel funds,	iiiD Â discount/waiver program. LIHEAP eligibility is necessary.
4	Waived reconnect fees	Columbia Gas revenues, Peoples Natural Gas rates	iiiD Â discount/waiver program. LIHEAP eligibility is necessary.
5	Cash payments to utility companies	Dollar Energy Fund - Utility company shareholder funds and utility customer contributions	iiiE - Staff assigned to the resource communicate about how to meet the home energy needs of specific, individual households. During the LIHEAP program, this communication takes place before assistance is provided to each household, unless the applicant for assistance from the resource presents documentation of LIHEAP eligibility and/or the amount of LIHEAP assistance received or to be received.
6	Customer Assistance Program Â reduced monthly payment	Peoples Natural Gas rates, Penn Power rates, PPL Electric operating funds	iiiD Â discount/waiver program. LIHEAP eligibility is necessary.
7	Cash payments toward energy bills	Duquesne Light revenues and fundraising; Metropolitan Edison customer and employee donations; National Fuel customers, stockholders and employees; PENELEC customer and employee donations; PPL	iiiE - Staff assigned to the resource communicate about how to meet the home energy needs of specific, individual households. During the LIHEAP program, this communication takes place before assistance is provided to each household, unless the applicant for assistance from

		Electric customer and employee donations; UGI utilities customer and employee donations; UGI Central Penn funds	the resource presents documentation of LIHEAP eligibility and/or the amount of LIHEAP assistance received or to be received.
8	Furnace and Energy-related home repairs Â payments for repair/replacement of equipment or gas lines	Peoples Natural Gas Equitable Division hardship fund	iiiE - Staff assigned to the resource communicate about how to meet the home energy needs of specific, individual households. During the LIHEAP program, this communication takes place before assistance is provided to each household, unless the applicant for assistance from the resource presents documentation of LIHEAP eligibility and/or the amount of LIHEAP assistance received or to be received.
9	Low-income usage reduction program (LIURP)	Utility company rates	iiiE - Staff assigned to the resource communicate about how to meet the home energy needs of specific, individual households. During the LIHEAP program, this communication takes place before assistance is provided to each household, unless the applicant for assistance from the resource presents documentation of LIHEAP eligibility and/or the amount of LIHEAP assistance received or to be received.
10	Matching Energy Assistance Fund (MEAF) Â cash payment on delinquent accounts to avoid termination	PECO customer contributions, agency funds, shareholder match	iiiE - Staff assigned to the resource communicate about how to meet the home energy needs of specific, individual households. During the LIHEAP program, this communication takes place before assistance is provided to each household, unless the applicant for assistance from the resource presents documentation of LIHEAP eligibility and/or the amount of LIHEAP assistance received or to be received.
11	Philadelphia Gas Works (PGW)Â Conservation works Â cash payment for acquisition and installation of weatherization materials	PGW rate payers	iiiE - Staff assigned to the resource communicate about how to meet the home energy needs of specific, individual households. During the LIHEAP program, this communication takes place before assistance is provided to each household, unless the applicant for assistance from the resource presents documentation of LIHEAP eligibility and/or the amount of LIHEAP assistance received or to be received.
12	Utility Emergency Services Fund (UESF) Â cash payments toward energy bills and in-kind contributions	Utilities match contributions from individuals, United Way, special events, foundations, and fund raisers	iiiE - Staff assigned to the resource communicate about how to meet the home energy needs of specific, individual households. During the LIHEAP program, this communication takes place before assistance is provided to each household, unless the applicant for assistance from the resource presents documentation of LIHEAP eligibility and/or the amount of LIHEAP assistance received or to be received.
13	Payments on past due bills	Adams Electric Cooperative member donations; Central Electric Cooperative members, employees and company donations; Penn Power customer and employee donations; UGI Utilities customers, employees, and company donations; Northwestern Rural Electric Cooperative members, employees, and company donations	iiiA Â The assistance depends on and is determined by the receipt of LIHEAP and supplements LIHEAP.
14	Member to Member Program Â payments on past due bills	Northwestern Rural Electric Cooperative members, employees, and company donations	iiiG - resource takes referrals from LIHEAP program
15	Low Cost Heating Oil Program Â discounted fuel oil for customer purchase	CITGO fuel oil discount administered by Citizens Energy	iiiB Â receipt of LIHEAP is necessary to receive.
16	Natural gas payments and fuel oil deliveries	Philadelphia Board of City Trust funds and accrued interest	iiiD Â discount/waiver program. LIHEAP eligibility is necessary.
17	Waived CAP Customer Connection & Transfer Fees	Peoples Natural Gas rates	iiiD Â discount/waiver program. LIHEAP eligibility is necessary.

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

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:

- [x] **Formal training on grantee policies and procedures**

How often?

- [ ] **Annually**
- [ ] **Biannually**
- [x] **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:**

- [x] **On-site training**

How often?

- [x] **Annually**
- [ ] **Biannually**
- [ ] **As needed**
- [ ] **Other - Describe:**

- [x] **Employees are provided with policy manual**
- [x] **Other - Describe**

Weekly LIHEAP Knowledge Reinforcement Sessions are required of assistance office staff and remain available throughout the season as a reference resource. There are also biweekly support conference calls held between assistance office coordinators, policy staff, operations staff and computer systems staff.

c. Vendors

- [ ] **Formal training conference**

How often?

- [ ] **Annually**
- [ ] **Biannually**
- [ ] **As needed**

☐ **Other - Describe:**

☑ **Policies communicated through vendor agreements**

☐ **Policies are outlined in a vendor manual**

☑ **Other - Describe:**
Teleconference web training provided annually by grantee

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

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

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

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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.

A system has been created to gather energy usage information from the following vendors based upon the number of LIHEAP recipients they serve:

- top 5 electric providers
- top 5 natural gas providers
- top 10 oil providers
- top 10 propane providers
- 1 other* provider

*Most vendors of fuel types such as coal and wood do not maintain annual billing information. However, these "other" fuel types only account for 1% of LIHEAP recipients in Pennsylvania, so the lack of information for this fuel type will not have a negative impact on the quality of data provided.

In regards to crisis prevention and restoration seciton of the report, our eligibility processing system is able to track and maintain the information that is required for this report. Therefore, Pennsylvania should be able to report this information for the Performance Measures report.

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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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.

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

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

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

17.2. Identification Documentation Requirements

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

Type of Identification Collected	Collected from Whom?					
	Applicant Only		All Adults in Household		All Household Members	
Social Security Card is photocopied and retained	[ ]	Required	[ ]	Required	[ ]	Required
	[ ]	Requested	[ ]	Requested	[ ]	Requested
Social Security Number (Without actual Card)	[ ]	Required	[ ]	Required	[ ]	Required
	[ ]	Requested	[ ]	Requested	[x]	Requested
Government-issued identification card (i.e.: driver's license, state ID, Tribal ID, passport, etc.)	[ ]	Required	[ ]	Required	[ ]	Required
	[ ]	Requested	[ ]	Requested	[ ]	Requested

				All Adults in	All Adults in	All Household	All Household

	Other	Applicant Only Required	Applicant Only Requested	Household Required	Household Requested	Members Required	Members Requested
1		☐	☐	☐	☐	☐	☐

b. Describe any exceptions to the above policies.

PA LIHEAP State Plan section 601.106 states that a household member who does not have a social security number or is unable to provide one shall complete an energy assistance affidavit. An energy assistance affidavit is not required for a child under the age of one.

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:**

17.4. Citizenship/Legal Residency Verification

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

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

17.5. Income Verification

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

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

If applicants are recipients of another type of benefit in the state computer system (TANF, Medicaid, or SNAP) and state that there is no change in their income, they are not required to re-verify their income for LIHEAP.

- ☑ **Computer data matches:**
  - ☑ **Income information matched against state computer system (e.g., SNAP, TANF)**
  - ☐ **Proof of unemployment benefits verified with state Department of Labor**
  - ☑ **Social Security income verified with SSA**

- [x] Utilize state directory of new hires
- [ ] Other - Describe:

17.6. Protection of Privacy and Confidentiality

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

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

17.7. Verifying the Authenticity

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

- [x] All vendors must register with the State/Tribe.
- [x] All vendors must supply a valid SSN or TIN/W-9 form
- [x] Vendors are verified through energy bills provided by the household
- [ ] Grantee and/or local agencies/district offices perform physical monitoring of vendors
- [ ] Other - Describe and note any exceptions to policies above:

17.8. Benefits Policy - Gas and Electric Utilities

What policies are in place to protect against fraud when making benefit payments to gas and electric utilities on behalf of clients? Select all that apply.

- [x] Applicants required to submit proof of physical residency
- [x] Applicants must submit current utility bill
- [x] Data exchange with utilities that verifies:
  - [x] Account ownership
  - [x] Consumption
  - [x] Balances
  - [x] Payment history
  - [ ] Account is properly credited with benefit
  - [x] Other - Describe:

Data exchange is not set up for all utilities and not all utilities provide all the verifications listed above.

- [x] Centralized computer system/database tracks payments to all utilities
- [x] 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
- [x] Payments to utilities and invoices from utilities are reviewed for accuracy
- [x] Computer databases are periodically reviewed to verify accuracy and timeliness of payments made to utilities
- [x] Direct payment to households are made in limited cases only
- [x] Procedures are in place to require prompt refunds from utilities in cases of account closure
- [x] 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.

- [x] **Vendors are checked against an approved vendors list**
- [x] **Centralized computer system/database is used to track payments to all vendors**
- [x] **Clients are relied on for reports of non-delivery or partial delivery**
- [ ] **Two-party checks are issued naming client and vendor**
- [x] **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**
- [x] **Bulk fuel vendors are required to submit reports to the Grantee**
- [x] **Vendor agreements specify requirements selected above, and provide enforcement mechanism**
- [ ] **Other - Describe:**

17.10. Investigations and Prosecutions

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

- [x] **Refer to state Inspector General**
- [ ] **Refer to local prosecutor or state Attorney General**
- [ ] **Refer to US DHHS Inspector General (including referral to OIG hotline)**
- [ ] **Local agencies/district offices or Grantee conduct investigation of fraud complaints from public**
- [x] **Grantee attempts collection of improper payments. If so, describe the recoupment process**

Vendors sign the Vendor Agreement stating that they will return funds as required by check or electronic recoupment within 30 days after the basis for return is known. Examples include but are not limited to: instances where a customer's whereabouts are unknown or a customer changes vendors, dies, or departs the area serviced by the vendor, or receives a duplicate payment if a security deposit was erroneously paid with LIHEAP funds, or a billing error is detected. DHS is authorized to recoup past due LIHEAP balances from vendors by debiting any current or future LIHEAP payment to the vendor for an amount equal to the outstanding unrefunded balance that is due to DHS from the vendor. DHS will send the vendor up to three notices requesting payment of the funds. If the vendor has failed to respond after the third notice, the amount of the balance of funds owed to DHS will be deducted from the vendor's next payment(s) until the funds are repaid.

- [ ] **Clients found to have committed fraud are banned from LIHEAP assistance. For how long is a household banned?**
- [ ] **Contracts with local agencies require that employees found to have committed fraud are reprimanded and/or terminated**
- [x] **Vendors found to have committed fraud may no longer participate in LIHEAP**
- [ ] **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 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.BrBbr.

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

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

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

7. The prospective primary participant further agrees by submitting this proposal that it

will include the clause titled ``Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

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

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

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

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

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

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

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

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

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

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

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

Instructions for Certification

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

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

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

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

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

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

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

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

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

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

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

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

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

Section 19: Certification Regarding Drug-Free Workplace Requirements

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

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

1. By signing and/or submitting this application or grant agreement, the 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)

Department of Human Services *** Address Line 1**		
625 Forster Street **Address Line 2**		
Rm 333, Health and Welfare Building **Address Line 3**		
Harrisburg *** City**	PA *** State**	17105 *** 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

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 disbursal of and accounting for Federal funds paid to the State under this title, including procedures for monitoring the assistance provided under this title, and provide that the State will comply with the provisions of chapter 75 of title 31, United States Code (commonly known as the "Single Audit Act");

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

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

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

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

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

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

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

Plan Attachments

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