

## DETAILED MODEL PLAN (LIHEAP)

**Program Name:** Low Income Home Energy Assistance

**Grantee Name:** Alabama

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

**Report Period:** 10/01/2021 to 09/30/2022

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

### Report Sections

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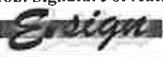
## Mandatory Grant Application SF-424

**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: 12/31/2023

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

* 1.a. Type of Submission: <input checked="" type="radio"/> Plan	* 1.b. Frequency: <input checked="" type="radio"/> Annual	* 1.c. Consolidated Application/Plan/Funding Request?  Explanation:	* 1.d. Version: <input checked="" type="radio"/> Initial <input checked="" type="radio"/> Resubmission <input checked="" type="radio"/> Revision <input checked="" type="radio"/> 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:
<b>7. APPLICANT INFORMATION</b>			
* a. Legal Name: Alabama Department of Economic and Community Affairs			
* b. Employer/Taxpayer Identification Number (EIN/TIN): 63-60006 19		* c. Organizational DUNS: 062620604	
<b>* d. Address:</b>			
* Street 1: ENERGY, WEATHERIZATION & TECH. DIVISION	Street 2:	401 ADAMS AVENUE	
* City: MONTGOMERY	County:	Montgomery	
* State: AL	Province:		
* Country: United States	* Zip / Postal Code:	36103 - 5690	
<b>e. Organizational Unit:</b>			
Department Name: Economic and Community Affairs		Division Name: Energy	
<b>f. Name and contact information of person to be contacted on matters involving this application:</b>			
Prefix:	* First Name: Jennifer	Middle Name: M.	* Last Name: Lee
Suffix:	Title: Program Monitor	Organizational Affiliation:	
* Telephone Number: (334) 353-3005	Fax Number 334-242-0552	* Email: jennifer.lee@adeca.alabama.gov	
<b>* 8a. TYPE OF APPLICANT:</b> A: State Government			
<b>b. Additional Description:</b>			
<b>* 9. Name of Federal Agency:</b>			
		Catalog of Federal Domestic Assistance Number:	CFDA Title:
10. CFDA Numbers and Titles		93.568	Low-Income Home Energy Assistance Program
<b>11. Descriptive Title of Applicant's Project</b> Low Income Home Energy Assistance Program			
<b>12. Areas Affected by Funding:</b> Statewide			
<b>13. CONGRESSIONAL DISTRICTS OF:</b>			
* a. Applicant 2		b. Program/Project: Statewide	
Attach an additional list of Program/Project Congressional Districts if needed.			

<b>14. FUNDING PERIOD:</b>		<b>15. ESTIMATED FUNDING:</b>	
a. Start Date: 10/01/2021	b. End Date: 09/30/2022	* a. Federal (\$): \$0	b. Match (\$): \$0
<b>* 16. IS SUBMISSION SUBJECT TO REVIEW BY STATE UNDER EXECUTIVE ORDER 12372 PROCESS?</b>			
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.			
<b>* 17. Is The Applicant Delinquent On Any Federal Debt?</b>			
<input checked="" type="radio"/> YES <input type="radio"/> NO			
Explanation:			
<b>18. By signing this application, I certify (1) to the statements contained in the list of certifications** and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)</b>			
**I Agree <input checked="" type="checkbox"/>			
** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.			
18a. Typed or Printed Name and Title of Authorized Certifying Official Jennifer Lee	18c. Telephone (area code, number and extension) (334) 353-3005		
18b. Signature of Authorized Certifying Official 	18d. Email Address jennifer.lee@adeca.alabama.gov		
18e. Date Report Submitted (Month, Day, Year) 09/09/2021			
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 20201

August 1987, revised 05/92, 02/95, 03/96, 12/98, 11/01  
OMB Approval No. 0970-0075  
Expiration Date: 12/31/2023

**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.)

		Start Date	End Date
<input checked="" type="checkbox"/>	Heating assistance	10/01/2021	05/31/2022
<input checked="" type="checkbox"/>	Cooling assistance	06/01/2022	09/30/2022
<input checked="" type="checkbox"/>	Crisis assistance	10/01/2021	09/30/2022
<input checked="" type="checkbox"/>	Weatherization assistance	10/01/2021	09/30/2022

Provide further explanation for the dates of operation, if necessary

Crisis Heating Assistance - 10/1/2021 - 5/31/2022

Crisis Cooling Assistance - 6/1/2022 - 9/30/2022

American Rescue Plan (ARP) Supplemental Funds - 8/1/2021 - 9/30/2022

#### 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	36.00%
Cooling assistance	31.00%
Crisis assistance	15.00%
Weatherization assistance	5.00%
Carryover to the following federal fiscal year	2.00%
Administrative and planning costs	10.00%
Services to reduce home energy needs including needs assessment (Assurance 16)	1.00%
Used to develop and implement leveraging activities	0.00%
<b>TOTAL</b>	<b>100.00%</b>

#### 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:

<input checked="" type="checkbox"/>	Heating assistance	<input checked="" type="checkbox"/>	Cooling assistance		
<input type="checkbox"/>	Weatherization assistance	<input type="checkbox"/>	Other (specify:)		
<b>Categorical Eligibility, 2605(b)(2)(A) - Assurance 2, 2605(c)(1)(A), 2605(b)(8A) - Assurance 8</b>					
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? <input checked="" type="radio"/> Yes <input type="radio"/> 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		
TANF	<input type="radio"/> Yes <input checked="" type="radio"/> No	<input type="radio"/> Yes <input checked="" type="radio"/> No	<input type="radio"/> Yes <input checked="" type="radio"/> No		
SSI	<input type="radio"/> Yes <input checked="" type="radio"/> No	<input type="radio"/> Yes <input checked="" type="radio"/> No	<input type="radio"/> Yes <input checked="" type="radio"/> No		
SNAP	<input type="radio"/> Yes <input checked="" type="radio"/> No	<input type="radio"/> Yes <input checked="" type="radio"/> No	<input type="radio"/> Yes <input checked="" type="radio"/> No		
Means-tested Veterans Programs	<input type="radio"/> Yes <input checked="" type="radio"/> No	<input type="radio"/> Yes <input checked="" type="radio"/> No	<input type="radio"/> Yes <input checked="" type="radio"/> No		
	Program Name	Heating	Cooling	Crisis	Weatherization
Other(Specify) 1		<input type="radio"/> Yes <input checked="" type="radio"/> No			
1.5 Do you automatically enroll households without a direct annual application? <input type="radio"/> Yes <input checked="" type="radio"/> 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?					
<b>SNAP Nominal Payments</b>					
1.7a Do you allocate LIHEAP funds toward a nominal payment for SNAP households? <input type="radio"/> Yes <input checked="" type="radio"/> No					
If you answered "Yes" to question 1.7a, you must provide a response to questions 1.7b, 1.7c, and 1.7d.					
1.7b Amount of Nominal Assistance: \$0.00					
1.7c Frequency of Assistance					
<input type="checkbox"/>	Once Per Year				
<input type="checkbox"/>	Once every five years				
<input type="checkbox"/>	Other - Describe:				
1.7d How do you confirm that the household receiving a nominal payment has an energy cost or need?					
<b>Determination of Eligibility - Countable Income</b>					
1.8. In determining a household's income eligibility for LIHEAP, do you use gross income or net income ?					
<input checked="" type="checkbox"/>	Gross Income				
<input type="checkbox"/>	Net Income				
1.9. Select all the applicable forms of countable income used to determine a household's income eligibility for LIHEAP					
<input checked="" type="checkbox"/>	Wages				
<input checked="" type="checkbox"/>	Self - Employment Income				
<input checked="" type="checkbox"/>	Contract Income				
<input checked="" type="checkbox"/>	Payments from mortgage or Sales Contracts				
<input checked="" type="checkbox"/>	Unemployment insurance				
<input checked="" type="checkbox"/>	Strike Pay				
<input checked="" type="checkbox"/>	Social Security Administration (SSA ) benefits				
<input checked="" type="checkbox"/>	Including MediCare deduction				
<input type="checkbox"/>	Excluding MediCare deduction				
Supplemental Security Income (SSI )					

<input checked="" type="checkbox"/>	
<input checked="" type="checkbox"/>	Retirement / pension benefits
<input type="checkbox"/>	General Assistance benefits
<input checked="" type="checkbox"/>	Temporary Assistance for Needy Families (TANF) benefits
<input type="checkbox"/>	Supplemental Nutrition Assistance Program (SNAP) benefits
<input type="checkbox"/>	Women, Infants, and Children Supplemental Nutrition Program (WIC) benefits
<input type="checkbox"/>	Loans that need to be repaid
<input checked="" type="checkbox"/>	Cash gifts
<input type="checkbox"/>	Savings account balance
<input checked="" type="checkbox"/>	One-time lump-sum payments, such as rebates/credits, winnings from lotteries, refund deposits, etc.
<input type="checkbox"/>	Jury duty compensation
<input checked="" type="checkbox"/>	Rental income
<input checked="" type="checkbox"/>	Income from employment through Workforce Investment Act (WIA)
<input type="checkbox"/>	Income from work study programs
<input checked="" type="checkbox"/>	Alimony
<input checked="" type="checkbox"/>	Child support
<input checked="" type="checkbox"/>	Interest, dividends, or royalties
<input checked="" type="checkbox"/>	Commissions
<input type="checkbox"/>	Legal settlements
<input type="checkbox"/>	Insurance payments made directly to the insured
<input type="checkbox"/>	Insurance payments made specifically for the repayment of a bill, debt, or estimate
<input checked="" type="checkbox"/>	Veterans Administration (VA) benefits
<input type="checkbox"/>	Earned income of a child under the age of 18
<input type="checkbox"/>	Balance of retirement, pension, or annuity accounts where funds cannot be withdrawn without a penalty.
<input type="checkbox"/>	Income tax refunds
<input type="checkbox"/>	Stipends from senior companion programs, such as VISTA
<input type="checkbox"/>	Funds received by household for the care of a foster child
<input type="checkbox"/>	Ameri-Corp Program payments for living allowances, earnings, and in-kind aid
<input type="checkbox"/>	Reimbursements (for mileage, gas, lodging, meals, etc.)
<input type="checkbox"/>	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  
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**LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP)  
MODEL PLAN  
SF - 424 - MANDATORY**

### Section 2 - Heating Assistance

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

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

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

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

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

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

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

**Renters?**  Yes  No

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

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

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

**Elderly?**  Yes  No

**Disabled?**  Yes  No

**Young children?**  Yes  No

**Households with high energy burdens ?**  Yes  No

**Other?**  Yes  No

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

Vulnerable households are identified at time of application. Vulnerable households have early application periods and designated times for which only they may apply for assistance.

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

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

Subgrantees allow early application periods, specified days of the week, and visits to Senior Centers. Also, vulnerable households are identified at time of application.

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

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

Benefit levels are shown on the **2022 LIHEAP Payment Assistance Chart** which is included in the Attachments section of the State Plan. Income eligibility is determined based on the household's gross income for the month prior to the month of application. For example, if a household applies for assistance any time in August, the applicant must provide verification of the gross monthly income that each household member received in July.

To calculate the income levels on the 2022 Payment Assistance Chart, ADECA used the HHS Poverty Guidelines for Federal Fiscal Year 2021 from the website <https://aspe.hhs.gov/poverty-guidelines>.

For a 1-person household, the maximum annual income based on 100% of HHS Poverty Guidelines is \$12,880. To calculate the maximum income for a 1-person household at 150% poverty, ADECA multiplied \$12,880 by 1.5 = \$19,320. To determine the maximum monthly amount as shown on the Payment Assistance Chart, ADECA divided \$19,320 by 12 = \$1,610.

The Payment Assistance Chart contains three income tiers for each household size. The following is how ADECA calculated the ranges for each income tier for a 1-person household:

First income tier: Divided \$1,610 by 3 = \$536. Began at \$0 for the minimum monthly income and added \$536 for the maximum monthly income, resulting in an income range of \$0 - \$536.

Second income tier: Began at \$537 for the minimum monthly income and added \$536 for the maximum monthly income of \$1,073, resulting in an income range of \$537 - \$1,073.

Third income tier: Began at \$1,074 for the minimum monthly income and added \$536 for the maximum monthly income of \$1,610, resulting in an range of \$1,074 - \$1,610.

ADECA followed the same methodology described above to complete the calculations for households with two to eight people on the 2022 Payment Assistance Chart. To determine the maximum monthly income for households with more than eight people, ADECA added \$567 for each additional member.

Households with more than four people receive the same benefit amount as a household of four.

If a household has a high energy need (including, but not limited to, those with children under 18, elderly members, or members with a disabling condition), subgrantees may award an additional \$50.

\*The same Payment Assistance Chart is used to determine income eligibility to receive a supplemental benefit from the American Rescue Plan (ARP) fund. Each time a household receives a Heating benefit, the household also receives a \$300 supplemental ARP benefit at the same time.

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

#### 2.6 Describe estimated benefit levels for the fiscal year for which this plan applies

Minimum Benefit	\$580	Maximum Benefit	\$880

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 component:

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

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

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

Do you require an Assets test ?  Yes  No

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

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

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

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

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

Vulnerable households are identified at the time of application. Early application periods, designated times to apply and visits to senior centers.

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

Subgrantees allow early application periods, designated days of the week, and visits to senior centers. Also, vulnerable households are identified at the time of application.

##### 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):

<input checked="" type="checkbox"/> Income	
<input checked="" type="checkbox"/> Family (household) size	
<input checked="" type="checkbox"/> Home energy cost or need:	
<input checked="" type="checkbox"/> Fuel type	
<input type="checkbox"/> Climate/region	
<input type="checkbox"/> Individual bill	
<input type="checkbox"/> Dwelling type	
<input type="checkbox"/> Energy burden (% of income spent on home energy)	
<input checked="" type="checkbox"/> Energy need	

Other - Describe:

Benefit levels are shown on the **2022 LIHEAP Payment Assistance Chart** which is included in the Attachments section of the State Plan. Income eligibility is determined based on the household's gross income for the month prior to the month of application. For example, if a household applies for assistance any time in August, the applicant must provide verification of the gross monthly income that each household member received in July.

To calculate the income levels on the 2022 Payment Assistance Chart, ADECA used the HHS Poverty Guidelines for Federal Fiscal Year 2021 from the website <https://aspe.hhs.gov/poverty-guidelines>.

For a 1-person household, the maximum annual income based on 100% of HHS Poverty Guidelines is \$12,880. To calculate the maximum income for a 1-person household at 150% poverty, ADECA multiplied \$12,880 by 1.5 = \$19,320. To determine the maximum monthly amount as shown on the Payment Assistance Chart, ADECA divided \$19,320 by 12 = \$1,610.

The Payment Assistance Chart contains three income tiers for each household size. The following is how ADECA calculated the ranges for each income tier for a 1-person household:

First income tier: Divided \$1,610 by 3 = \$536. Began at \$0 for the minimum monthly income and added \$536 for the maximum monthly income, resulting in an income range of \$0 - \$536.

Second income tier: Began at \$537 for the minimum monthly income and added \$536 for the maximum monthly income of \$1,073, resulting in an income range of \$537 - \$1,073.

Third income tier: Began at \$1,074 for the minimum monthly income and added \$536 for the maximum monthly income of \$1,610, resulting in an range of \$1,074 - \$1,610.

ADECA followed the same methodology described above to complete the calculations for households with two to eight people on the 2022 Payment Assistance Chart. To determine the maximum monthly income for households with more than eight people, ADECA added \$567 for each additional member.

Households with more than four people receive the same benefit amount as a household of four.

If a household has a high energy need (including, but not limited to, those with children under 18, elderly members, or members with a disabling condition), subgrantees may award an additional \$50.

**\*The same Payment Assistance Chart is used to determine income eligibility to receive a supplemental benefit from the American Rescue Plan (ARP) fund. Each time a household receives a Heating benefit, the household also receives a \$300 supplemental ARP benefit at the same time.**

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

**3.6 Describe estimated benefit levels for the fiscal year for which this plan applies**

Minimum Benefit	\$620	Maximum Benefit	\$820
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**3.7 Do you provide in-kind (e.g., fans, air conditioners) and/or other forms of benefits?  Yes  No**

If yes, describe.

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

## Section 4 - CRISIS ASSISTANCE

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

August 1987, revised 05/92,02/95,03/96,12/98,11/01  
OMB Clearance No.: 0970-0075  
Expiration Date: 12/31/2023

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

#### Section 4: CRISIS ASSISTANCE

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

**4.1 Designate the income eligibility threshold used for the crisis component**

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

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

The definition of crisis includes when a household member's health and/or well-being would likely be endangered if crisis assistance is not provided, when a household has been negatively impacted by a State- or Federally-declared disaster or emergency, or if a household has at least one child under 18.

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

Households in which there exists a clear and present danger to life due to extreme weather.

**Crisis Requirement, 2604(c)**

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

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

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

4.6 Do you have additional eligibility requirements for CRISIS ASSISTANCE?	<input checked="" type="radio"/> Yes <input type="radio"/> No
--	---

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

Do you require an Assets test ?	<input checked="" type="radio"/> Yes <input type="radio"/> No
---------------------------------	---

Do you give priority in eligibility to :

Elderly?	<input checked="" type="radio"/> Yes <input type="radio"/> No
Disabled?	<input checked="" type="radio"/> Yes <input type="radio"/> No
Young Children?	<input checked="" type="radio"/> Yes <input type="radio"/> No
Households with high energy burdens?	<input checked="" type="radio"/> Yes <input type="radio"/> No
Other? See notes section below	<input checked="" type="radio"/> Yes <input type="radio"/> No

In Order to receive crisis assistance:

Must the household have received a shut-off notice or have a near empty tank?	<input checked="" type="radio"/> Yes <input type="radio"/> No
---	---

Must the household have been shut off or have an empty tank?	<input checked="" type="radio"/> Yes <input type="radio"/> No
--	---

Must the household have exhausted their regular heating benefit?	<input checked="" type="radio"/> Yes <input type="radio"/> No
--	---

Must renters with heating costs included in their rent have received an eviction notice ?	<input checked="" type="radio"/> Yes <input type="radio"/> No
---	---

Must heating/cooling be medically necessary?	<input checked="" type="radio"/> Yes <input type="radio"/> No
--	---

Must the household have non-working heating or cooling equipment?	<input checked="" type="radio"/> Yes <input type="radio"/> No
---	---

Other? See notes section below	<input checked="" type="radio"/> Yes <input type="radio"/> No
--------------------------------	---

Do you have additional / differing eligibility policies for:

Renters?	<input checked="" type="radio"/> Yes <input type="radio"/> No
----------	---

Renters living in subsidized housing?	<input type="radio"/> Yes <input checked="" type="radio"/> No
Renters with utilities included in the rent?	<input checked="" type="radio"/> Yes <input type="radio"/> No
<b>Explanations of policies for each "yes" checked above:</b>	
<p>Note for "Do you give priority in eligibility to:"</p> <p>Priority in eligibility is given to households that have been negatively impacted by a State- or Federally-declared disaster or emergency, or households with at least one child under 18, or when a household member has a weather-related medical condition which would endanger member's health and/or well-being if assistance is not provided.</p> <p>Note for "In Order to receive crisis assistance:"</p> <p>In order to receive crisis assistance, households must be negatively impacted by a State- or Federally-declared disaster or emergency, or have at least one child under 18, or have a household member with a weather-related medical condition which would endanger member's health and/or well-being if assistance is not provided.</p>	
<b>Determination of Benefits</b>	
<b>4.8 How do you handle crisis situations?</b>	
<input checked="" type="checkbox"/>	Separate component
<input type="checkbox"/>	Fast Track
<input type="checkbox"/>	Other - Describe:
<b>4.9 If you have a separate component, how do you determine crisis assistance benefits?</b>	
<input checked="" type="checkbox"/>	Amount to resolve the crisis.
<input type="checkbox"/>	<p>Other - Describe:</p> <p>The amount of the crisis assistance benefit must be the minimum amount necessary to alleviate the crisis and provide utility service or deliverable fuel to the household for the next 30 days.</p> <p>The crisis assistance benefit must not exceed 200% of the benefit the household is eligible for based on the benefits matrix. Subgrantees contact the household's energy vendor at the time of appointment to determine the minimum amount required.</p> <p>If a household has a high energy need (including, but not limited to, those with children under 18, elderly members, or members with a disabling condition), local administering agencies may award an additional \$50. As noted on the Payment Assistance Chart, the additional \$50 cannot be split. In other words, the entire \$50 must be awarded, it cannot be a partial amount. Also, if awarding the additional \$50 results in the crisis benefit exceeding the minimum amount necessary to alleviate the crisis, then the \$50 must not be awarded.</p> <p>Example: A 1-person electric household with a gross monthly income of \$700 is eligible for a \$410 Heating benefit. The household qualifies for crisis assistance; therefore, they are eligible for up to 200% of the Heating benefit which is \$820. The electric vendor was contacted and required \$900 to avoid disconnection of services. The applicant is elderly and disabled; therefore, the subgrantee awarded \$820 in crisis benefits plus the additional \$50 for a total benefit a amount of \$870. The applicant was responsible for the remaining \$30 balance owed.</p>
<p>Benefit levels are shown on the <b>2022 LIHEAP Payment Assistance Chart</b> which is included in the Attachments section of the State Plan. Income eligibility is determined based on the household's gross income for the month prior to the month of application.</p> <p>To calculate the income levels on the 2022 Payment Assistance Chart, ADECA used the HHS Poverty Guidelines for Federal Fiscal Year 2021 from the website <a href="https://aspe.hhs.gov/poverty-guidelines">https://aspe.hhs.gov/poverty-guidelines</a>.</p> <p>For a 1-person household, the maximum annual income based on 100% of HHS Poverty Guidelines is \$12,880. To calculate the maximum income for a 1-person household at 150% poverty, ADECA multiplied \$12,880 by 1.5 = \$19,320. To determine the maximum monthly amount as shown on the Payment Assistance Chart, ADECA divided \$19,320 by 12 = \$1,610.</p> <p>The Payment Assistance Chart contains three income tiers for each household size. The following is how ADECA calculated the ranges for each income tier for a 1-person household:</p> <p>First income tier: Divided \$1,610 by 3 = \$536. Began at \$0 for the minimum monthly income and added \$536 for the maximum monthly income, resulting in an income range of \$0 - \$536.</p> <p>Second income tier: Began at \$537 for the minimum monthly income and added \$536 for the maximum monthly income of \$1,073, resulting in an income range of \$537 - \$1,073.</p> <p>Third income tier: Began at \$1,074 for the minimum monthly income and added \$536 for the maximum monthly income of \$1,610, resulting in an range of \$1,074 - \$1,610.</p> <p>ADECA followed the same methodology described above to complete the calculations for households with two to eight people on the 2022 Payment Assistance Chart. To determine the maximum monthly income for households with more than eight people, ADECA added \$567 for each additional member.</p>	

<b>Crisis Requirements, 2604(c)</b>			
<b>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?</b>			
<input checked="" type="radio"/> Yes <input type="radio"/> No Explain.			
Subgrantees maintain service centers in each county of the state.			
<b>4.11 Do you provide individuals who are physically disabled the means to:</b>			
Submit applications for crisis benefits without leaving their homes?			
<input checked="" type="radio"/> Yes <input type="radio"/> No If No, explain.			
Travel to the sites at which applications for crisis assistance are accepted?			
<input checked="" type="radio"/> Yes <input type="radio"/> 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?			
<b>Benefit Levels, 2605(c)(1)(B)</b>			
<b>4.12 Indicate the maximum benefit for each type of crisis assistance offered.</b>			
Winter Crisis	\$1,110.00 maximum benefit		
Summer Crisis	\$990.00 maximum benefit		
Year-round Crisis	\$0.00 maximum benefit		
<b>4.13 Do you provide in-kind (e.g. blankets, space heaters, fans) and/or other forms of benefits?</b>			
<input checked="" type="radio"/> Yes <input type="radio"/> No If yes, Describe			
Provide window air conditioner units, fans, portable heaters, and electric blankets, payment for the minor repair/replacement of worn parts on existing air conditioners and heating units, and providing temporary housing for households who qualify for crisis assistance.			
<b>4.14 Do you provide for equipment repair or replacement using crisis funds?</b>			
<input checked="" type="radio"/> Yes <input type="radio"/> No			
If you answered "Yes" to question 4.14, you must complete question 4.15.			
<b>4.15 Check appropriate boxes below to indicate type(s) of assistance provided.</b>			
	Winter Crisis	Summer Crisis	Year-round Crisis
Heating system repair	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Heating system replacement	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Cooling system repair	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Cooling system replacement	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Wood stove purchase	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Pellet stove purchase	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Solar panel(s)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Utility poles / gas line hook-ups	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other (Specify):	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>4.16 Do any of the utility vendors you work with enforce a moratorium on shut offs?</b>			
<input type="radio"/> Yes <input checked="" type="radio"/> No			
If you responded "Yes" to question 4.16, you must respond to question 4.17.			
<b>4.17 Describe the terms of the moratorium and any special dispensation received by LIHEAP clients during or after the moratorium period.</b>			
<p>If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.</p>			



## Section 5 - WEATHERIZATION 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 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.

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

### WEATHERIZATION - Types of Rules

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

Entirely under LIHEAP (not DOE) rules

Entirely under DOE WAP (not LIHEAP) rules

Mostly under LIHEAP rules with the following DOE WAP rule(s) where LIHEAP and WAP rules differ (Check all that apply):

Income Threshold

Weatherization of entire multi-family housing structure is permitted if at least 66% of units (50% in 2- & 4-unit buildings) are eligible units or will become eligible within 180 days

Weatherize shelters temporarily housing primarily low income persons (excluding nursing homes, prisons, and similar institutional care facilities).

Other - Describe:

Mostly under DOE WAP rules, with the following LIHEAP rule(s) where LIHEAP and WAP rules differ (Check all that apply.)

Income Threshold

Weatherization not subject to DOE WAP maximum statewide average cost per dwelling unit.

Weatherization measures are not subject to DOE Savings to Investment Ratio (SIR ) standards.

Other - Describe:

Reweatherization - a dwelling may receive reweatherization fifteen (15) years after the date previous weatherization work was completed.

Energy related home repair - the use of LIHEAP weatherization funds is allowable for structural and ancillary repairs, such as roof, wall and flooring repairs, only if the repairs are required to enable effective weatherization. These repairs will help ensure the health and safety of the clients and help reduce the occurrence of deferrals due to the condition of the homes.

### 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?	<input checked="" type="radio"/> Yes <input type="radio"/> No
House holds with high energy burdens?	<input checked="" type="radio"/> Yes <input type="radio"/> No
Other?	<input type="radio"/> Yes <input checked="" type="radio"/> 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.

Regarding Question 5.7, renters must have approval of landlord prior to weatherization of the home. In addition, renters living in subsidized housing are not eligible for weatherization.

Regarding Question 5.8, households applying for weatherization are awarded the following priority points if applicable:

Head of Household Disabled - 10 points

Head of Household Elderly (60 or older) - 10 points

Children under age 18 - 10 points

Other members elderly/disabled - 5 points

High Energy Consumer or LIHEAP Client - 5 points

High Energy Burden (greater than or equal to 17%) - 5 points

Weatherization applicants are ranked by Priority Points. Those applicants with the most points are first in line to receive services when funding is available.

#### Benefit Levels

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

5.10 If yes, what is the maximum? \$0

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

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

<input checked="" type="checkbox"/> Weatherization needs assessments/audits	<input checked="" type="checkbox"/> Energy related roof repair
<input checked="" type="checkbox"/> Caulking and insulation	<input checked="" type="checkbox"/> Major appliance Repairs
<input checked="" type="checkbox"/> Storm windows	<input checked="" type="checkbox"/> Major appliance replacement
<input checked="" type="checkbox"/> Furnace/heating system modifications/ repairs	<input checked="" type="checkbox"/> Windows/sliding glass doors
<input checked="" type="checkbox"/> Furnace replacement	<input checked="" type="checkbox"/> Doors
<input checked="" type="checkbox"/> Cooling system modifications/ repairs	<input checked="" type="checkbox"/> Water Heater
<input checked="" type="checkbox"/> Water conservation measures	<input checked="" type="checkbox"/> Cooling system replacement
<input checked="" type="checkbox"/> Compact fluorescent light bulbs	<input checked="" type="checkbox"/> Other - Describe: Health and safety measures; LED bulb installation; code compliance; plumbing, electrical, roof or flooring repairs.

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

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

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

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

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

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

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

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

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

#### Section 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, SS I, WAP, etc.).

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

ADECA administers the LIHEAP, the Community Services Block Grant (CSBG) Program, and the Weatherization Assistance Program which aids in improving the close coordination between these programs. These programs are administered at the local level by community action agencies and non-profit organizations.

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

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

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

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

#### Section 8: Agency Designation, 2605(b)(6) - Assurance 6 (Required for state grantees and the Commonwealth of Puerto Rico)

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

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

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

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

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

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

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

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

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

##### 8.6 What is your process for selecting local administering agencies?

ADECA gives special consideration to any local, public, or private non-profit agency which was receiving Federal funds under any low-income assistance program under the Economic Opportunity Act (EOA) of 1964 or any other provision of law on the day before the date of enactment of this Act. Before giving consideration, ADECA shall determine that the agency meets program and fiscal requirements established by the State.

**8.7 How many local administering agencies do you use? 20**

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

- Yes  
 No

**8.9 If so, why?**

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

After discussions with the Hale Empowerment and Revitalization Organization (HERO) regarding capacity challenges, the program was transferred to the Community Service Programs of West Alabama in July 2021. CSP of West Alabama administers the CSBG and the Weatherization Assistance Program in Hale County and administers LIHEAP in their 10-county service area.

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

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

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

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

#### 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.

Payments to renters whose utilities are included in their rent. In these cases, payments are made directly to the applicant.

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

When an application has been approved, the client is provided a copy which describes the amount of the benefit, the energy supplier the benefit will be provided to, as well as the account name and number to which the benefit is applied.

##### 9.3 How do you assure that the home energy supplier will charge the eligible household, in the normal billing process, the difference between the actual cost of the home energy and the amount of the payment?

All energy suppliers are required to sign a LIHEAP Energy Supplier Agreement with the state in order to receive payments. This agreement prohibits this practice. A copy of the **FY2022 LIHEAP Energy Supplier Agreement** is included in the Attachments section of this State Plan.

##### 9.4 How do you assure that no household receiving assistance under this title will be treated adversely because of their receipt of LIHEAP assistance?

All energy suppliers are required to sign a LIHEAP Energy Supplier Agreement with the state in order to receive payments. This agreement prohibits this practice. A copy of the **FY2022 LIHEAP Energy Supplier Agreement** is included in the Attachments section of this State Plan.

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

Yes  No

If so, describe the measures unregulated vendors may take.

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

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

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

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

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

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

ADECA requires that the local administering agencies submit an invoice at least once per month to request funds. In addition, ADECA generates weekly reports for each local administering agency through the state-wide database, FACSPRO, to closely track the number of households assisted and the amount of assistance. The Alabama Examiners of Public Accounts conducts an annual audit of LIHEAP funds received by the State of Alabama. Additionally, the local administering agencies are required to arrange for an annual audit per CFR §200.501 Audit Requirements.

### 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 administering agencies/district offices?  
Select all that apply.

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

### Compliance Monitoring

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

#### Grantee employees:

- Internal program review
- Departmental oversight
- Secondary review of invoices and payments
- Other program review mechanisms are in place. Describe:

#### Local Administering Agencies / District Offices:

- On - site evaluation
- Annual program review
- Monitoring through central database
- Desk reviews

<input checked="" type="checkbox"/> Client File Testing / Sampling
<input type="checkbox"/> Other program review mechanisms are in place. Describe:
<b>10.6 Explain, or attach a copy of your local agency monitoring schedule and protocol.</b>
<p>A desk and/or on-site programmatic review for each local administering agency is conducted a minimum of once per fiscal year. The following summarizes the actions to be taken during each review:</p> <ol style="list-style-type: none"> <li>1. Conduct an entrance conference or teleconference with the Executive Director and/or LIHEAP Coordinator to discuss the monitoring procedure.</li> <li>2. Review general agency procedures using the LIHEAP Monitoring Review Tool (see attached).</li> <li>3. Review files of regular and crisis assistance (and supplemental funding awards, if applicable) awarded during the current fiscal year for completeness and accuracy.</li> <li>4. Review vendor payments to ensure agency is paying within 30 days of the award.</li> <li>5. During a site review, observe how and where LIHEAP files are maintained to ensure confidentiality. During a desk review, verify with Executive Director or LIHEAP Coordinator how and where LIHEAP files are maintained and/or request photos.</li> <li>6. Conduct an exit conference or teleconference with the Executive Director and/or LIHEAP Coordinator to discuss the review and any findings.</li> </ol> <p><u>Case Review Procedures</u></p> <p>A random sample of current fiscal year applicant files from each county in the agency's service area are assessed to verify required documentation. Applicant files are reviewed for the following documentation:</p> <ol style="list-style-type: none"> <li>1. Application - a complete application with the applicant's signature or electronic signature. Accuracy of the information and award amount are confirmed during review. The monitor also reviews case notes.</li> <li>2. Applicant identification - a copy of a recent photo ID.</li> <li>3. Household member(s) identification - copies of the Social Security cards for the applicant and all household members.</li> <li>4. Household income - proof of gross household income for all household members (with the exception of earned income for those under 18).</li> <li>5. Residence - review of home energy bill, driver's license, social security cards, or other forms of documentation to verify that the applicant is a resident of Alabama and at least one household member is a qualified alien eligible for LIHEAP.</li> <li>6. Home energy bill - copy of the most recent home energy bill to ensure the account is in the applicant's name or spouse's name. The address on the bill must correspond to the applicant's address.</li> </ol> <p>The program monitor completes the LIHEAP Monitoring Form during the case review. The following information is entered for each case file:</p> <ol style="list-style-type: none"> <li>1. Date of application</li> <li>2. Type of benefit (Regular Assistance or Crisis Assistance)</li> <li>3. Applicant name</li> <li>4. System ID - applicant's unique identification number from the state-wide intake database</li> <li>5. Applicant's Social Security number</li> <li>6. Total household income</li> <li>7. Household condition - identifies if there is at least one member that is elderly, disabled, or a child under 18</li> <li>8. Household size</li> <li>9. County</li> <li>10. LIHEAP benefit amount</li> <li>11. Home Energy Supplier</li> <li>12. Comments - notes the amount of utility allowance received (if applicable), if additional \$50 was awarded for high energy users, and other relevant comments or information about the case file.</li> <li>13. On-site or desk review – identifies whether the review of the case file occurred on-site or during a desk review.</li> </ol> <p>When the programmatic review has been completed, a selection of home energy suppliers is contacted. The purpose of contacting the home energy supplier is to verify if they have been receiving LIHEAP payments from the local administering agency within thirty(30) days from the date of the award.</p> <p>Within thirty (30) days of the programmatic review, ADECA sends a letter to the local administering agency to summarize any findings and, if applicable, corrective action. Any required corrective action is due to ADECA within thirty (30) days.</p>
<b>10.7. Describe how you select local agencies for monitoring reviews.</b>
Site Visits:

ADECA conducts an on-site monitoring visit to all local administering agencies at least once during fiscal year.

**Desk Reviews:**

ADECA requires that local administering agencies enter all household data and LIHEAP awards into the state-wide system, FACSPro. The LIHEAP Program Manager and Program Monitor review weekly expenditure reports generated from FACSPro for each local administering agency in addition to processing monthly invoices.

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

All local administering agencies are monitored at least once per fiscal year.

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

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

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

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

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

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

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

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OMB Clearance No.: 0970-0075  
Expiration Date: 12/31/2023

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

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

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

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

On June 9, 2021, ADECA held a virtual meeting with the Executive Director of the Alabama Community Action Association and representatives of four community action agencies to develop the plan to allocate the American Rescue Plan Funds.

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

It was determined that a supplemental benefit of \$300 would be provided to every eligible household at the time they receive a Heating or a Cooling award between August 1, 2021 and September 30, 2022.

### 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	08/11/2021	Virtual Public Hearing

### 11.4. How many parties commented on your plan at the hearing(s)? 5

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

A summary of the questions and comments received is attached.

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

Based on comments during the public hearing and the comment period following the hearing, ADECA changed Section 5.9, "Do you have a maximum LIHEAP weatherization benefit/expenditure per household?" from Yes to No. The maximum benefit/expenditure of \$8,500 was removed.

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

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

12.1 How many fair hearings did the grantee have in the prior Federal fiscal year? 0

12.2 How many of those fair hearings resulted in the initial decision being reversed? None

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

N/A

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

ADECA provides an opportunity for a fair hearing for clients whose claims for assistance are denied or not acted upon with reasonable promptness. All hearings shall provide for a hearing officer to locally conduct hearings, submission of hearing materials to the State for final determination (and corrective action if needed), reporting of data related to the number of hearing requests received, and notification to the client of these rights at the time of application.

12.5 When and how are applicants informed of these rights?

Clients are informed of their right to a hearing at the time of application. Also, if they contact ADECA concerning a complaint, we notify them in writing of the right to a hearing and the Fair Hearing policy.

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

ADECA provides an opportunity for a fair hearing for clients whose claims for assistance are denied or not acted upon with reasonable promptness. All hearings shall provide for a hearing officer to locally conduct hearings, submission of hearing materials to the State for final determination (and corrective action if needed), reporting of data related to the number of hearing requests received, and notification to the client of these rights at the time of application.

12.7 When and how are applicants informed of these rights?

Clients are informed of their right to a hearing at the time of application.

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

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 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?

Funds are used for activities that encourage and reduce their home energy needs such as completing a household needs assessments focusing on target groups such as the elderly, disabled and household with small children; providing one-on-one energy and/or financial counseling at time of intake; hosting financial workshops that include energy conservation tips, providing energy self-assessment packets, providing energy conservation kits, and assisting households by contacting home energy suppliers with the goal to reduce disconnects and shut-offs.

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

Funds are a line item budget in each administering agency's grant budget. Invoices are reviewed by LIHEAP staff and ADECA's Finance Department prior to the advance of funds.

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

During the previous Federal fiscal year, fifteen of the State's twenty subgrantees utilized Energy Counseling funds to reduce their clients' home energy needs, and thereby, the need for energy assistance. The following provides the results of their efforts:

During the previous Federal fiscal year, fifteen of the State's twenty subgrantees utilized Energy Counseling funds to reduce their clients' home energy needs, and thereby, the need for energy assistance. The following provides the results of their efforts:

- 18,110 households - received an energy conservation brochure/flyer/resource guide
- 15,508 households - client received energy conservation counseling at time of intake
- 7,225 households - subgrantee completed a full Needs Assessment for household and provided assistance and/or referrals
- 3,785 households - subgrantee contacted the household's home energy supplier to restore service or negotiate payment arrangement
- 3,500 households - subgrantee and client reviewed household expenses and developed a budget
- 769 households - client attended financial literacy/budgeting workshop (no energy conservation discussion)
- 363 households - received an energy conservation kit
- 291 households - client attended workshop that discussed both energy counseling AND financial literacy/budgeting
- 212 households - client received an HVAC unit assessment
- 158 households - client attended energy conservation workshop (no discussion of finances or budgeting)

In addition, subgrantee(s) tracked the household energy bills of 1,960 households after they attended an energy counseling workshop with the following results:

- 693 households - energy bills were reduced 0%-5% after tracking up to 90 days after workshop
- 18 households - energy bills were reduced 5%-10% after tracking up to 90 days after workshop
- 2 households - energy bills were reduced 10%-20% after tracking up to 90 days after workshop
- 14 households - energy bills were reduced 20% or more after tracking up to 90 days after workshop

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

N/A

### 13.5 How many households applied for these services? 15,602

13.6 How many households received these services? 15,602

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

## Section 14 - Leveraging Incentive Program ,2607A

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES  
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 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.

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

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?
I			

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

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 15: Training

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

#### a. Grantee Staff:

Formal training on grantee policies and procedures

##### How often?

Annually

Biannually

As needed

Other - Describe:

Employees are provided with policy manual

Other-Describe:

#### b. Local Agencies:

Formal training conference

##### How often?

Annually

Biannually

As needed

Other - Describe:

On-site training

##### How often?

Annually

Biannually

As needed

Other - Describe:

Employees are provided with policy manual

Other - Describe

#### c. Vendors

Formal training conference

##### How often?

Annually

Biannually

As needed

Other - Describe:

Policies communicated through vendor agreements

Policies are outlined in a vendor manual

**Other - Describe:**

The Program Monitor and/or Program Manager contact vendors during subgrantee programmatic reviews.

**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)

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

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

#### Section 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.**

ADECA submitted data for all required sections of the FY 2020 Performance Measures Report. We collected twelve months of bill payment data for approximately 36.97% of LIHEAP households that received assistance between October 1, 2019 through September 30, 2021. Expenditure data was collected from sixteen (16) electric, natural gas, and propane vendors.

The State's Benefit Targeting Index for All Households was 111 and the Burden Reduction Targeting Index for All Households was 87.

**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)

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

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

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

### **17.1 Fraud Reporting Mechanisms**

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

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

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

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

Fraud training and reporting provided at annual LIHEAP workshop.

### **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	<input checked="" type="checkbox"/> Required	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/> Required	<input checked="" type="checkbox"/>	Required
	<input type="checkbox"/> Requested	<input type="checkbox"/>	<input type="checkbox"/> Requested	<input type="checkbox"/>	Requested
Social Security Number (Without actual Card)	<input type="checkbox"/> Required	<input type="checkbox"/>	<input type="checkbox"/> Required	<input type="checkbox"/>	Required
	<input type="checkbox"/> Requested	<input type="checkbox"/>	<input type="checkbox"/> Requested	<input type="checkbox"/>	Requested
Government-issued identification card (i.e.: driver's license, state ID, Tribal ID, passport, etc.)	<input type="checkbox"/> Required	<input type="checkbox"/>	<input type="checkbox"/> Required	<input type="checkbox"/>	Required
	<input checked="" type="checkbox"/> Requested	<input type="checkbox"/>	<input type="checkbox"/> Requested	<input type="checkbox"/>	Requested
Other	Applicant Only Required	Applicant Only Requested	All Adults in Household	All Adults in Household	All Household Members

				Required	Requested	Required	Requested
1	Picture ID	<input checked="" type="checkbox"/>	<input type="checkbox"/>				

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

During a State-declared or Federally-declared emergency, applicants and household members that have been assisted previously are not required to provide their Social Security cards; those who are first-time applicants and cannot provide cards may provide previous year's tax return or another State/Federal form that shows the Social Security number of the applicant and/or the household members as proof.

**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:  
 Applicants are required to provide SS cards for all household members and a picture ID with the exception during a State-declared or Federally-declared emergency when applicants and household members that have been assisted previously are not required to provide their Social Security cards or those who are first-time applicants and cannot provide cards may provide previous year's tax return or another State/Federal form that shows the Social Security number of the applicant and/or the household members.

**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:  
 Income can also be verified by the following:  
 A. Statements from employers.  
 B. Documentation from the Department of Human Resources to verify income, child support and/or TANF payments.  
 C. Declaration of Household Income form - completed by the applicant if any household member age 18 and over had no income for the pr

vious month and verification cannot be obtained from a governmental entity such as the Department of Human Resources, Department of Labor, Public Housing manager, etc; household received income from occasional work such as lawn care, house cleaning, babysitting, car repair, etc. when a receipt book is not maintained; household received money from family/friends; or household received income not reported elsewhere.

D. Subgrantees can accept facsimiles, scanned documents, or legible, printable photos of required documentation.

E. Subgrantees can use the household member's current Social Security Administration benefits letter if the subgrantee has it on file.

F. Subgrantees may accept bank statements as proof if the applicant or household member does not have verification for child support and/or TANF received in the previous month.

Computer data matches:

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

**17.6. Protection of Privacy and Confidentiality**

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

Policy in place prohibiting release of information without written consent

Grantee LIHEAP database includes privacy/confidentiality safeguards

Employee training on confidentiality for:

Grantee employees

Local agencies/district offices

Employees must sign confidentiality agreement

Grantee employees

Local agencies/district offices

Physical files are stored in a secure location

Other - Describe:

**17.7. Verifying the Authenticity**

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

All vendors must register with the State/Tribe.

All vendors must supply a valid SSN or TIN/W-9 form

Vendors are verified through energy bills provided by the household

Grantee and/or local agencies/district offices perform physical monitoring of vendors

Other - Describe and note any exceptions to policies above:

**17.8. Benefits Policy - Gas and Electric Utilities**

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

Applicants required to submit proof of physical residency

Applicants must submit current utility bill

Data exchange with utilities that verifies:

Account ownership

Consumption

Balances

Payment history

Account is properly credited with benefit

Other - Describe:

Centralized computer system/database tracks payments to all utilities

<input checked="" type="checkbox"/> Centralized computer system automatically generates benefit level
<input checked="" type="checkbox"/> Separation of duties between intake and payment approval
<input type="checkbox"/> Payments coordinated among other energy assistance programs to avoid duplication of payments
<input checked="" type="checkbox"/> Payments to utilities and invoices from utilities are reviewed for accuracy
<input type="checkbox"/> Computer databases are periodically reviewed to verify accuracy and timeliness of payments made to utilities
<input checked="" type="checkbox"/> Direct payment to households are made in limited cases only
<input checked="" type="checkbox"/> Procedures are in place to require prompt refunds from utilities in cases of account closure
<input checked="" type="checkbox"/> Vendor agreements specify requirements selected above, and provide enforcement mechanism
<input type="checkbox"/> 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.

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

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

Clients committing fraud (providing false information) are typically banned for 1 year. If illegal payments are made on client's behalf, the household cannot apply for assistance until restitution has been made, at which time they must submit a request to the agency to be considered eligible to apply 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 18: Certification Regarding Debarment, Suspension, and Other Responsibility Matters**

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

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

##### **Instructions for Certification**

- 1. By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.**
- 2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.**
- 3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default. 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 and Voluntary Exclusion--Lower Tier Covered Transactions**

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

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

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

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

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

This certification is required by the regulations implementing the Drug-Free Workplace Act of 1988: 45 CFR Part 76, Subpart, F. Sections 76.630(c) and (d)(2) and 76.645(a)(1) and (b) provide that a Federal agency may designate a central receipt point for STATE-WIDE AND STATE AGENCY-WIDE certifications, and for notification of criminal drug convictions. For the Department of Health and Human Services, the central point 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)**

401 Adams Avenue

\* Address Line 1

Address Line 2

Address Line 3

Montgomery  
\* City

AL  
\* State

36103  
\* Zip Code

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

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

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

(b) If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, he or she will report the conviction, in writing, within 10 calendar days of the conviction, to every grant officer or other designee, unless the Federal agency designates a central point for the receipt of such notices. When notice is made to such a central point, it shall include the identification number(s) of each affected grant.

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

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

## Section 20: Certification Regarding Lobbying

### Section 20: Certification Regarding Lobbying

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

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions
- (3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

### Statement for Loan Guarantees and Loan Insurance

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

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

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

## Assurances

### Assurances

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

- (A) conduct outreach activities and provide assistance to low income households in meeting their home energy costs, particularly those with the lowest incomes that pay a high proportion of household income for home energy, consistent with paragraph (5);
- (B) intervene in energy crisis situations;
- (C) provide low-cost residential weatherization and other cost-effective energy-related home repair; and
- (D) plan, develop, and administer the State's program under this title including leveraging programs, and the State agrees not to use such funds for any purposes other than those specified in this title;

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

- (A) households in which one or more individuals are receiving--
  - (i) assistance under the State program funded under part A of title IV of the Social Security Act;
  - (ii) supplemental security income payments under title XVI of the Social Security Act;
  - (iii) food stamps under the Food Stamp Act of 1977; or
  - (iv) payments under section 415, 521, 541, or 542 of title 38, United States Code, or under section 306 of the Veterans' and Survivors' Pension Improvement Act of 1978; or
- (B) households with incomes which do not exceed the greater of -
  - (i) an amount equal to 150 percent of the poverty level for such State; or
  - (ii) an amount equal to 60 percent of the State median income;

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

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

(4) coordinate its activities under this title with similar and related programs administered by the Federal Government and such State, particularly low-income

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

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

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

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

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

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

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

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

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

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

(8) provide assurances that,

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

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

(9) provide that--

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

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

(10) provide that such fiscal control and fund accounting procedures will be established as may be necessary to assure the proper 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
<ul style="list-style-type: none"><li>• Delegation Letter is required if someone other than the Governor or Chairman Certified this Report.</li></ul>
<ul style="list-style-type: none"><li>• Heating component benefit matrix, if applicable</li></ul>
<ul style="list-style-type: none"><li>• Cooling component benefit matrix, if applicable</li></ul>
<ul style="list-style-type: none"><li>• Minutes, notes, or transcripts of public hearing(s).</li></ul>

OFFICE OF THE GOVERNOR

KAY IVEY  
GOVERNOR



STATE CAPITOL  
MONTGOMERY, ALABAMA 36130

(334) 242-7100  
FAX: (334) 242-3282

STATE OF ALABAMA

July 25, 2017

Ms. Lauren Christopher, Director  
Division of Energy Assistance  
Office of Community Services/ACF  
U.S. Department of Health and Human Services  
370 L'Enfant Promenade, SW  
Washington, DC 20447

Dear Ms. Christopher:

As Governor of the state of Alabama, I hereby designate the Alabama Department of Economic and Community Affairs as the lead agency for the administration of the Low-Income Home Energy Assistance Program (LIHEAP) in the state of Alabama. The Director of said department is authorized to sign all assurances which may be required for the submission of the LIHEAP State Plan.

This delegation of authority shall remain in effect until modified or rescinded by federal or state statute, or by the Governor of this state.

Sincerely,

A handwritten signature in black ink, appearing to read "Kay Ivey".

Kay Ivey  
Governor

MN/WW/sf

**LOW INCOME HOME ENERGY ASSISTANCE PROGRAM (LIHEAP)  
PAYMENT ASSISTANCE CHART  
PY 2022**

1 PERSON

<i>Fuel Type</i> <i>Income Level</i>	<i>Liquid Propane</i>	<i>Natural Gas</i>	<i>Electric</i>	<i>Wood/Coal/Kerosene</i>
\$0 – \$536	\$500	\$480	\$440	\$400
\$537 – \$1,073	\$470	\$450	\$410	\$370
\$1,074 – \$1,610	\$380	\$360	\$320	\$280

2 PERSON

<i>Fuel Type</i> <i>Income Level</i>	<i>Liquid Propane</i>	<i>Natural Gas</i>	<i>Electric</i>	<i>Wood/Coal/Kerosene</i>
\$0 – \$726	\$510	\$490	\$450	\$410
\$727 – \$1,453	\$480	\$460	\$420	\$380
\$1,454 – \$2,178	\$390	\$370	\$330	\$290

3 PERSON

<i>Fuel Type</i> <i>Income Level</i>	<i>Liquid Propane</i>	<i>Natural Gas</i>	<i>Electric</i>	<i>Wood/Coal/Kerosene</i>
\$0 – \$915	\$520	\$500	\$460	\$420
\$916 – \$1,831	\$490	\$470	\$430	\$390
\$1,832 – \$2,745	\$400	\$380	\$340	\$300

4 PERSON

<i>Fuel Type</i> <i>Income Level</i>	<i>Liquid Propane</i>	<i>Natural Gas</i>	<i>Electric</i>	<i>Wood/Coal/Kerosene</i>
\$0 – \$1,104	\$530	\$510	\$470	\$430
\$1,105 – \$2,209	\$500	\$480	\$440	\$400
\$2,210 – \$3,313	\$410	\$390	\$350	\$310

Note: Households with more than four persons will receive benefits in the same amount as the chart of four.

5 person	\$3,880	9 person	\$6,150
6 person	\$4,448	10 person	\$6,717
7 person	\$5,015	11 person	\$7,284
8 person	\$5,583	12 person	\$7,851

Add \$567 for each additional member in households with more than 8

Add an additional \$50 if you have determined the household has a high energy need such as those with children under 18, elderly or disabled members. The additional \$50 cannot be split and crisis awards cannot exceed minimum amount necessary to alleviate the crisis.

**LOW-INCOME HOME ENERGY ASSISTANCE PROGRAM (LIHEAP)  
MONITORING REVIEW TOOL**

*Revised 08/1/2021*

**Agency:**  
**Contact Person:**

**Date:**  
**Analyst:**

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**A. OUTREACH AND INTAKE:**

1. What Outreach/Intake mechanisms are used?

- Radio  
 Local Newspaper  
 Flyers/Posters  
 Referrals--another agency  
 Other \_\_\_\_\_

- Satellite offices  
 Mobile Intake units  
 Home Visits  
 2nd Party Applications  
 Website/Social Media

2. List all Outreach/Intake facilities.

Location	Days/Hours of Operation	No. of Staff	Activities Performed

3. If the agency maintains a website/social media, what platforms are used? Are they updated on a regular basis regarding LIHEAP? \_\_\_\_\_
4. What is the local procedure for application intake and approximately how many applications are accepted daily? \_\_\_\_\_
5. Are local procedures stated above (Item #3) sufficient to handle request for crisis assistance? (Explain)
- Yes    No
6. How does the agency assure accessibility of services for elderly and disabled households? \_\_\_\_\_

**B. APPLICATION PROCESSING:**

1. Are required items on the application being entered when completed as:

- |                 |                              |                             |
|-----------------|------------------------------|-----------------------------|
| a. Award        | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| b. Denial       | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| c. Pending      | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| d. Crisis       | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| e. Second Party | <input type="checkbox"/> Yes | <input type="checkbox"/> No |

2. Is the household provided a copy of the application when:

- |                               |                              |                             |
|-------------------------------|------------------------------|-----------------------------|
| a. Award is completed         | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| b. Award is denied            | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| c. Award is placed in pending | <input type="checkbox"/> Yes | <input type="checkbox"/> No |

3. a. Is the vendor notified of all awards?  Yes  No
- b. How and when are vendors notified of an award? (Vendor copy of application mailed/mailed/faxed to vendor, award data is emailed in a spreadsheet to vendor, or award data is uploaded into vendor portal, etc). \_\_\_\_\_  
\_\_\_\_\_

4. Describe the local procedures for control of pending applications. \_\_\_\_\_  
\_\_\_\_\_

5. Do pending applications state clearly what verifications are needed?

- Yes  No

6. Is assistance in securing documentation and/or verification provided to households in accordance with agency policies?

- Yes  No

7. After expiration of the 15-day pending period, how are households notified of the award or denial? \_\_\_\_\_

8. Are signed statements by the head of household or spouse obtained and attached on second party applications?

Yes       No

9. Are case records maintained according to the Manual?

Yes       No

10. Are wood, coal, etc., vendor files maintained according to Manual procedures?

Yes       No

11. For in-person appointments, is each statement of affirmation explained to client prior to requesting signature?

Yes       No

12. For in-person appointments, are applications signed and dated by client?

Yes       No

13. Does the agency accept electronic applications?

Yes       No

If yes, what format (mobile app, website, fillable pdf, etc) \_\_\_\_\_

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14. Does the agency have a Board-approved electronic signature policy?

Yes       No       Not applicable

15. Is the agency providing the household the opportunity for a conference when they are dissatisfied with the action taken?

Yes       No

16. Are fair hearing procedures being followed according to Manual procedures?

Yes       No

17. Who serves as the Agency Hearing Officer? \_\_\_\_\_

**C. VERIFICATION:**

1. Is household income adequately verified and documented?

Yes (check all that apply)       No (Explain)

Verification maintained (check, check stub, employer statement, self-employed records, existing agency records, other social agency records, statement from reference)

Worker Narrative

Other

Comments: \_\_\_\_\_

2. Is prior month's income being used to determine income eligibility?

Yes       No

3. Are crisis cases adequately documented showing a relationship between the health condition and the need for crisis assistance?

Yes (check all that apply)       No (Explain)

Written documentation maintained (Doctor's statement, Physician/Nurse Statement LIHEAP 124)

Crisis Assistance Checklist

Worker Narrative

Other

4. Explain local procedures for resolution of crisis cases within 18/48 hour deadline.

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**D. PAYMENT PROCEDURES AND INTERNAL CONTROL:**

1. If applicable, how and when are applications transmitted from satellite offices to the central office? \_\_\_\_\_
2. What controls are used to ensure applications are complete and accurate? \_\_\_\_\_
3. Are Manual procedures being followed for reporting of erroneous payments?  
 Yes       No
4. a. Who maintains accounting ledgers? \_\_\_\_\_  
b. Are they up-to-date? If no, explain. \_\_\_\_\_  
 Yes       No
5. Are vendor payments made in a timely manner?  
 Yes       No

How often? \_\_\_\_\_  
(NOTE: Energy Suppliers should be contacted during records review to verify payments are

6. How many wood, coal, etc., vendors are employed by the agency and how are they selected? \_\_\_\_\_
7. How does the agency assure quality and quantity of wood, coal, etc., deliveries?  
\_\_\_\_\_
8. How are payment amounts for crisis awards determined? \_\_\_\_\_

**E. COST ALLOCATION**

1. Does agency have an approved indirect cost rate or cost allocation plan? \_\_\_\_\_
2. Are personnel charges supported by time and attendance reports? \_\_\_\_\_
3. Are personnel costs charged to the appropriate grant based on supporting records?  
\_\_\_\_\_

**F. ENERGY COUNSELING (ASSURANCE 16)**

1. Does the agency receive funds for Energy Counseling (Assurance 16)?

Yes       No

2. If yes, describe activities and/or services the agency provides with the Energy Counseling funds and provide copies of handouts, flyers, etc.

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## **G. RECORDS REVIEW**

Review a sample of LIHEAP awards, denials and pending applications. Identify each record by application date, if the application is a crisis or regular, applicant's first name, applicant's last name, total household income, last four digits of applicant's Social Security Number, household condition (are any household members elderly, disabled, or a child under 18), household size, award amount, relevant comments (such as the amount of the household's utility allowance or if the household received the optional extra \$50 because they are high energy users, or on the completeness of the record), and indicate the household's home energy supplier.

## H. SUMMARY

Describe any areas of weakness (as well as strength) which you see as needing additional attention and any recommendations for improving said areas (use additional sheets, if necessary).

**NOTE:** Any areas needing improvement should be discussed with Executive Director and LIHEAP Coordinator at time of visit.

A. Does the agency pay the LIHEAP client's bills in a timely manner (30 days from time of award)? \_\_\_\_\_

<b>Vendor</b>	<b>Representative</b>	<b>Telephone #</b>	<b>Comments</b>

STATE OF ALABAMA HOME ENERGY  
SUPPLIER AGREEMENT  
LOW-INCOME HOME ENERGY ASSISTANCE PROGRAM (LIHEAP)

The undersigned (hereinafter referred to as the COMPANY) hereby agrees to the following terms and conditions of the Alabama Department of Economic and Community Affairs (hereinafter referred to as the DEPARTMENT) in order to participate in the LOW- INCOME HOME ENERGY ASSISTANCE PROGRAM (LIHEAP) for the period of October 1, 2021 through September 30, 2022.

- (1) The Department, through its administering LIHEAP agencies, shall notify the Company of each eligible household and the amount of assistance to be paid on behalf of the household.
- (2) The Company shall charge the eligible household, in accordance with the Company's normal billing process, the difference between the actual cost of home energy and the amount of the payment made by the Department through LIHEAP.
- (3) The Company shall not treat adversely any eligible household in regard to terms and conditions of sale, credit, delivery, or price either in the costs of goods supplied or the services provided because of such assistance on behalf of an eligible household.
- (4) The Company agrees that any payment amount made by the Department or its administering LIHEAP agencies, and accepted by the Company, shall result in a prompt and timely fuel delivery, or the continuation or restoration of the home energy supply for a period of not less than thirty (30) days from the date the Company receives official notification from the local administering LIHEAP agency of the payment. Notification shall include, but may not be limited to, the receipt by the Company of the Company's copy of the LIHEAP-101 application form and shall constitute a commitment on the part of the local administering LIHEAP agency for the payment of the home energy delivered or otherwise provided. The Company shall not be required to make more than one delivery to an eligible household within a thirty (30) day period.
- (5) The Company agrees that the entire LIHEAP payment will be credited to the eligible household's account immediately upon receipt of the payment, regardless of whether the LIHEAP payment results in a credit balance on the account. The balance shall remain on the eligible household's account until it is depleted or until the account is otherwise closed.
- (6) The Company agrees to refund to the local administering LIHEAP agency any remaining LIHEAP funds balance when the household's account is closed. Unless the Company has been otherwise notified by the Department, such refunds are to be made payable to the local administering LIHEAP agency and mailed within forty-five (45) days of the account's closing date. The Company shall include the household account name and account number for reference purposes.
- (7) The Company agrees to cooperate with the Department's monitoring of this Agreement, including the Department's monitoring of documentation of energy supplied to eligible households. The Company shall observe its usual and customary practices governing the release of household account information. If requested by the Department, the Company shall provide account data including, but not limited to, annual energy costs and annual energy consumption, as authorized by the household's LIHEAP.
- (8) The Company agrees to not discriminate based on race, color, religion, sex, age, national origin, or disability in its implementation of this Agreement.
- (9) The Company agrees that the terms and commitments contained herein shall not be constituted as a debt of the State of Alabama in violation of Article 11, Section 213 of the Constitution of Alabama, 1901, as amended, by Amendment No. 26. The Company further agrees that if any provision of this Agreement shall contravene any statute or Constitutional provision or amendment, either now in effect or which may, during the course of this Agreement, be enacted, then that conflicting provision in the Agreement shall be deemed null and void.

The Company recognizes and acknowledges that the Department is an instrumentality of the State of Alabama, and as such, is immune from suit pursuant to Article 1, Section 14, Constitution of Alabama 1901. It is further acknowledged and agreed that none of the provisions and conditions of this Contract shall be deemed to be or construed to be a waiver by the Department of such Constitutional Immunity.

In the event of any dispute between the parties, senior officials of both parties shall meet and engage in a good faith attempt to resolve the dispute. Should that effort fail, and the dispute involves the payment of money, a party's sole remedy is the filing of a claim with the Board of Adjustment of the State of Alabama.

For any and all disputes arising under the terms of this Agreement which are not resolved by negotiation, the parties agree to utilize appropriate forms of non-binding alternative dispute resolution including, but not limited to, mediation. Such dispute resolution shall occur in Montgomery, Alabama, utilizing where appropriate, mediators selected from the roster of mediators maintained by the Center for Dispute Resolution of the Alabama State Bar.

- (10) By signing this agreement, the contracting parties affirm, for the duration of the agreement, that they will not violate federal immigration law or knowingly employ, hire for employment, or continue to employ an unauthorized alien within the State of Alabama. Furthermore, a contracting party found to be in violation of this provision shall be deemed in breach of the agreement and shall be responsible for all damages resulting therefrom.

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Company

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Signature of Authorizing Official

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Main Office Address

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Date

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City, State, Zip

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Contact Person

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Telephone Number

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Email address

Please provide the address your company would like the LIHEAP payments to be mailed to if different from address shown above or provide an attachment with satellite office addresses, if necessary:

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Alabama Department of Economic and Community Affairs  
FY2022 Low-Income Home Energy Assistance Program (LIHEAP)  
Virtual Public Hearing Summary  
August 11, 2021 at 10:00 am

- Ms. Jennifer Lee with the Alabama Department of Economic and Community Affairs (ADECA) welcomed everyone. She stated that there are two purposes of the public hearing: one is to gather comments on the administration of the current LIHEAP program year and the other is to discuss the draft FY2022 State Plan.
- Ms. Lee reviewed the handout titled LIHEAP Virtual Public Hearing (attached). The State's current program has seven components: Heating, Crisis Heating, Cooling, Crisis Cooling, Assurance 16 (Energy Counseling), CARES Act Assistance, and Weatherization.
- Ms. Lee stated that the draft State Plan for FY2022 has been prepared and is available for review on the ADECA-LIHEAP webpage. The State Plan provides details on how the State intends to administer the program for FY2022 and it will be submitted to the Department of Health and Human Services for approval by September 1, 2021.

Highlights from the draft FY2022 State Plan include:

- A. Eligibility will be based on total household income at or below 150% Federal poverty guidelines.
  - B. The program will be administered with the following components: Heating, Crisis Heating, Cooling, Crisis Cooling, Assurance 16 (Energy Counseling), American Rescue Plan (ARP) Supplemental Assistance, and Weatherization.
  - C. The plan incorporates changes to the income ranges of the Payment Assistance Chart based on the updated Federal poverty guidelines in 2021. No changes to the award amounts are being proposed.
  - D. The State received \$41 million in American Rescue Plan Supplemental funds. An Advisory Committee was formed and recommended that each time an eligible household receives Regular Heating or Regular Cooling assistance, the household will also receive a supplemental award of \$300 between August 1, 2021 and September 30, 2022.
- Ms. Lee provided a Performance Measures update with a brief summary of the State's FY2019 and FY2020 reports.

- Ms. Lee indicated that the draft State Plan is on the ADECA-LIHEAP webpage and comments can be emailed to Ms. Wendy Littles, LIHEAP Program Manager, until August 20, 2021.
- Ms. Lee asked if the participants had any questions. The following questions were presented and she provided a brief answer to each:
  1. *Question: Is it possible that the State might be exceeding the Performance Measure benchmarks (Benefit Target Index and Burden Reduction Index), but the data is not being captured at the local administering agency level?*
  2. *Question: When will the local administering agencies begin assisting households with the LIHEAP American Rescue Plan (ARP) funds?*
  3. *Question: Since the ARP funds are supplemental funds, would it be possible for the state-wide database (FACSPro) to be set up to auto-fill the client's action plan using the same data from their Regular Heating and Cooling action plan?*
  4. *Question: Should the local administering agencies allocate the ARP funds to each county in their service area using the same formula as the LIHEAP CARES funds or the formula used for the normal LIHEAP funds?*
  5. *Question: I am concerned that households with a large credit on their account are eligible for Regular Assistance and ARP assistance.*
- Ms. Lee indicated that a compilation of the questions and comments received during the hearing, as well as the comment period, will be emailed to the participants including responses to each.
- Ms. Lee asked if participants had any comments. The following comment was received from Mr. Trent Williams, Weatherization Program Manager:
 

The Alabama Department of Economic and Community Affairs (ADECA) is seeking input regarding weatherization with Low-Income Home Energy Assistance Program (LIHEAP) funds. Currently, the LIHEAP State Plan sets a limit of \$8,500.00 per house for weatherization. A revision to the FY 2022 State Plan is being considered to eliminate the \$8,500.00 limit per house and use an average cost per house similar to the current policy the State's Weatherization Assistance Program follows with weatherization funds from the Department of Energy (DOE). The average cost per house is determined by dividing the funding amount by the number of homes. This flexibility would allow subgrantees the ability to thoroughly supplement DOE weatherization funds and reduce the potential of unobligated funds at the end of the program year.
- With no further questions or comments, the hearing was concluded at 10:38 am.



## **LOW-INCOME HOME ENERGY ASSISTANCE PROGRAM (LIHEAP) VIRTUAL PUBLIC HEARING**

**August 11, 2021**

The Alabama Department of Economic and Community Affairs (ADECA) is the State Administering Agency for the Low-Income Home Energy Assistance Program (LIHEAP) Block Grant. The LIHEAP Block Grant is 100 percent federally funded and is authorized by Congress under Title XXVI of Public Law 97-35, “The Low-Income Home Energy Assistance Act of 1981,” and subsequent amendments.

This public hearing has two purposes. The first purpose is to provide information about how funds are being spent for the current fiscal year ending September 30, 2021. The second purpose is to obtain comments and recommendations from individuals and organizations for the expenditure of LIHEAP funds for the next fiscal year, FY 2022.

### **FY 2021 LIHEAP (Current Year)**

ADECA, through grant agreements with local Community Action Agencies and one local non-profit, presently administers the LIHEAP Block Grant. The total grant for FY 2021 is \$61.4 million in federal funds.

Eligibility for LIHEAP is based on household size, fuel type, and the household's gross income for the month prior to applying for assistance.

The LIHEAP Program has six major components related to energy assistance. Each component requires that household income is 150 percent or less of the federal poverty guidelines, with the exception of Weatherization which requires the household income is 200 percent or less of Federal Poverty guidelines. The six program components are as follows:

1. **General Heating Assistance** – A program that provides a one-time heating assistance payment on behalf of eligible households between October and May. The minimum payment per household is \$280, while the maximum payment is \$530. Such assistance is made directly to home energy suppliers. Payments averaging approximately \$350 were provided on behalf of 45,308 households in the Heating season for FY 2021.
2. **Crisis Heating Assistance** – A program that provides a maximum of \$1,110 for crisis assistance related to heating between October and May. Verification of a health crisis related to (or associated with) inadequate heating, a child under age eighteen (18), or that a household member was impacted by a Federally- or State-declared emergency is

required. Payments were made directly to home energy suppliers on behalf of 9,313 households in the Heating season for FY 2021.

3. **General Cooling Assistance** - A program that provides a one-time cooling assistance payment on behalf of eligible households between June and September. The minimum payment per household is \$320, while the maximum payment is \$470. Such assistance is made directly to home energy suppliers. Payments averaging approximately \$350 will be provided on behalf of 43,000 households (projected) by the end of FY 2021.
4. **Crisis Cooling Assistance** - A program that provides up to \$990 for crisis assistance related to cooling between June and September. Verification of a health crisis related to (or associated with) inadequate cooling, a child under age eighteen (18), or that a household member was impacted by a Federally- or State-declared emergency is required. Payments will be made directly to home energy suppliers on behalf of approximately 8,000 households (projected) by the end of FY 2021.
5. **Assurance 16 (Energy Counseling)** - A program that provides funds to Community Action Agencies to conduct activities that encourage eligible households to reduce their home energy needs, and thereby the need for energy assistance. These activities include needs assessments, counseling, and assistance with energy vendors. Interested agencies can submit a proposal to receive up to 2% of their grant each fiscal year for these activities.
6. **CARES Act Assistance** – A program that provides a one-time payment of \$1,000 (minus the utility allowance and/or utility reimbursement) to households impacted by COVID-19. The program year is December 1, 2020 to September 30, 2021. Payments will be made directly to home energy suppliers on behalf of approximately 15,000 households (projected) by the end of FY 2021.
7. **Weatherization Assistance** - Administered by Community Action Agencies, local non-profits and counties, the program provides home weatherization and energy conservation measures to eligible low-income households. Households are served on a priority basis. Approximately 450 homes will be weatherized with FY 2021 LIHEAP funds.

If an eligible household receives a utility allowance, that amount is deducted from their LIHEAP payment. An additional \$50 may be awarded if an eligible household has a high-energy need, such as those with children under eighteen (18) or those with elderly or disabled members.

## **FY2022 LIHEAP**

A draft State Plan for the expenditure of LIHEAP funds for FY 2022 has been prepared and is available for review on the ADECA-LIHEAP webpage at:

<https://adeca.alabama.gov/Divisions/energy/liap/Pages/LIHEAP.aspx>

- Eligibility will be based on total household income at or below 150% Federal poverty guidelines.
- The program will maintain the six major components: Heating, Crisis Heating, Cooling, Crisis Cooling, Assurance 16 (Energy Counseling), and Weatherization.
- Based on the updated Federal poverty guidelines, the plan incorporates changes to the income ranges of the Payment Assistance Chart as shown on the following page.
- One programmatic change is being proposed for FY 2022:
  - ADECA was allocated \$41.3 million in supplemental LIHEAP funds from the American Rescue Plan (ARP) which must be spent by September 30, 2022.
  - An Advisory Committee was formed and recommended that all eligible households that receive Regular Heating and Regular Cooling assistance also receive a supplemental award of \$300.
  - Between now and the end of the program year, it is possible that eligible households could receive up to three ARP awards: one in the current Cooling season, one in the 2022 Heating season, and one in the 2022 Cooling season.
  - It is anticipated that approximately 122,000 ARP awards will be completed during the program year.

Questions and comments concerning the draft State Plan can be emailed to Ms. Wendy M. Littles at [wendy.littles@adeca.alabama.gov](mailto:wendy.littles@adeca.alabama.gov) or mailed to her at the address shown below until Friday, August 20, 2021.

**Wendy M. Littles, LIHEAP Program Manager  
Energy Division  
Alabama Department of Economic and Community Affairs  
401 Adams Avenue  
P.O. Box 5690  
Montgomery, AL 36103-5690**

**LOW INCOME HOME ENERGY ASSISTANCE PROGRAM (LIHEAP)  
PAYMENT ASSISTANCE CHART  
PROPOSED PY 2022**

1 PERSON

<i>Fuel Type</i> Income Level	<i>Liquid Propane</i>	<i>Natural Gas</i>	<i>Electric</i>	<i>Wood/Coal/Kerosene</i>
\$0 – \$536	\$500	\$480	\$440	\$400
\$537 – \$1,073	\$470	\$450	\$410	\$370
\$1,074 – \$1,610	\$380	\$360	\$320	\$280

2 PERSON

<i>Fuel Type</i> Income Level	<i>Liquid Propane</i>	<i>Natural Gas</i>	<i>Electric</i>	<i>Wood/Coal/Kerosene</i>
\$0 – \$726	\$510	\$490	\$450	\$410
\$727 – \$1,453	\$480	\$460	\$420	\$380
\$1,454 – \$2,178	\$390	\$370	\$330	\$290

3 PERSON

<i>Fuel Type</i> Income Level	<i>Liquid Propane</i>	<i>Natural Gas</i>	<i>Electric</i>	<i>Wood/Coal/Kerosene</i>
\$0 – \$915	\$520	\$500	\$460	\$420
\$916 – \$1,831	\$490	\$470	\$430	\$390
\$1,832 – \$2,745	\$400	\$380	\$340	\$300

4 PERSON

<i>Fuel Type</i> Income Level	<i>Liquid Propane</i>	<i>Natural Gas</i>	<i>Electric</i>	<i>Wood/Coal/Kerosene</i>
\$0 – \$1,104	\$530	\$510	\$470	\$430
\$1,105 – \$2,209	\$500	\$480	\$440	\$400
\$2,210 – \$3,313	\$410	\$390	\$350	\$310

Note: Households with more than four persons will receive benefits in the same amount as the chart of four.

5 person	\$3,880	9 person	\$6,150
6 person	\$4,448	10 person	\$6,717
7 person	\$5,015	11 person	\$7,284
8 person	\$5,583	12 person	\$7,851

Add \$567 for each additional member in households with more than 8

Add an additional \$50 if you have determined the household has a high energy need such as those with children under 18, elderly, or disabled members. The additional \$50 cannot be split and crisis awards cannot exceed minimum amount necessary to alleviate the crisis.

## **LIHEAP Performance Measures Update**

- Since 2016, States have been required to submit the LIHEAP Performance Measures Report to the Department of Health and Human Services (HHS).
- The LIHEAP Statute requires that we provide more benefits to those that pay a larger share of their income on home energy bills (those with higher energy burden).
- The report shows us if we are in compliance with the LIHEAP Statute. If our Benefit Targeting Index is greater than 100, it means we are providing more benefits to those with high energy burdens.

### ***Alabama Performance Measures Reporting Trends:***

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#### **FY 2019**

- *On average, did we provide higher award amounts (benefits) to high burden households?*  
Yes, an average of 8% higher.  
❖ Benefit Targeting Index on Performance Measures Report: 108
- *On average, did we pay a larger share of home energy bills for high burden households?* No, LIHEAP reduced the energy burden of average households by 19.8%; however, we reduced the energy burden of high burden households by only 17.0%.  
❖ Burden Reduction Index on Performance Measures Report: 86

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#### **FY 2020**

- *On average, did we provide higher award amounts (benefits) to high burden households?*  
Yes, an average of 11% higher.  
❖ Benefit Targeting Index on Performance Measures Report: 111
- *On average, did we pay a larger share of home energy bills for high burden households?* No, LIHEAP reduced the energy burden of average households by 19.1%; however, we reduced the energy burden of high burden households by only 16.6%.  
❖ Burden Reduction Index on Performance Measures Report: 87

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#### **FY 2021**

- The FY 2021 report will be submitted in January 2022.
- ❖ HHS has not set any benchmarks at this point; however, the following was reported at 2019 National LIHEAP Training:  
Benefit Targeting Index: *the average state index is 119*  
Burden Reduction Index: *the average state index is 99*

**Low-Income Home Energy Assistance Program (LIHEAP)**  
**FY 2022 State Plan**  
**Public Hearing and Public Comment Period**  
**Questions and Answers**

- Question: Is it possible that the State might be exceeding the Performance Measure benchmarks (Benefit Target Index and Burden Reduction Index), but the data is not being captured at the local administering agency level?*

Answer: The Benefit Target Index and the Burden Reduction Index on the Performance Measures Report are determined by LIHEAP award data from the entire program year and annual client billing data collected from vendors. As discussed in the public hearing, the State is providing higher benefits and reducing the energy burden of the highest-burden households if each index is above 100.

The local administering agencies enter all LIHEAP awards in the state-wide database, FACSPro; therefore, award data is being captured at the local level. Factors that impact the Benefit Target Index and the Burden Reduction Index include benefit amounts on the LIHEAP Payment Assistance Chart, the severity of the weather which can affect client's home energy bills, the number of times a client applies for assistance throughout the program year, and the minimum amount required by the vendor to resolve the crisis.

- Question: When will the local administering agencies begin assisting households with the LIHEAP American Rescue Plan (ARP) funds?*

Answer: Once the local administering agency submits all required documentation as requested in the Letter of Conditional Commitment, the grant agreement will be sent to the agency. The grant agreement reflects a performance period of August 1, 2021 to September 30, 2022; therefore, assistance provided to eligible households and allowable administrative costs incurred during the performance period are acceptable.

- Question: Since the ARP funds are supplemental funds, would it be possible for the state-wide database (FACSPro) to be set up to auto-fill the client's action plan using the same data from their Regular Heating and Cooling action plan?*

Answer: ADECA will take this comment into consideration; however, action plans are typically completed manually by the caseworker to ensure outcomes are captured accurately.

- Question: Should the local administering agencies allocate the ARP funds to each county in their service area using the same formula as the LIHEAP CARES funds or the formula used for the normal LIHEAP funds?*

Answer: To allocate the ARP funds for the counties in their service area, the agencies should use the same formula typically used for normal LIHEAP funds which is based on the county's poverty percentage.

5. Question: I am concerned that households with a large credit on their account are eligible for Regular Assistance and ARP assistance.

Answer: Regarding Regular Assistance, the guidelines do not prohibit an eligible household from receiving assistance if they have a credit on their home energy account; however, ADECA will take this comment into consideration. Regarding the funds from the American Rescue Plan, these were designed to supplement an eligible household's Regular Cooling and/or Regular Heating award and help in the recovery effort due to COVID-19. The ARP award may result in a credit which could free up money for the household to use for other expenses.

6. Question: Why are income tax refunds, tax credits, or legal settlements not included in countable income? With child and head of household income tax credits, some of our clients may get significant refunds. In addition, legal settlements can be very substantial."

Answer: LIHEAP is a block grant and States have certain flexibilities to identify countable and non-countable income with the exception of Federal non-cash benefit programs such as Medicare, Medicaid, Supplemental Nutrition Assistance Program (SNAP), the nutrition program for Women, Infants, and Children (WIC), school lunches, and housing assistance. To determine income eligibility for LIHEAP, the local administering agencies are required to verify the household's gross income for the previous month. State LIHEAP guidelines do not currently count tax refunds, tax credits, or legal settlements as income; however, your comment will be taken into consideration.

- 7. Comment from Trent Williams, Weatherization Program Manager:**

The Alabama Department of Economic and Community Affairs (ADECA) is seeking input regarding weatherization with Low-Income Home Energy Assistance Program (LIHEAP) funds. Currently, the LIHEAP State Plan sets a limit of \$8,500.00 per house for weatherization. A revision to the FY 2022 State Plan is being considered to eliminate the \$8,500.00 limit per house and use an average cost per house similar to the current policy the State's Weatherization Assistance Program follows with weatherization funds from the Department of Energy (DOE). The average cost per house is determined by dividing the funding amount by the number of homes. This flexibility would allow subgrantees the ability to thoroughly supplement DOE weatherization funds and reduce the potential of unobligated funds at the end of the program year.