

DETAILED MODEL PLAN (LIHEAP)

Program Name: Low Income Home Energy Assistance

Grantee Name: ARKANSAS DIVISION OF ENVIRONMENTAL QUALITY

Report Name: DETAILED MODEL PLAN (LIHEAP)

Report Period: 10/01/2026 to 09/30/2027

Report Status: Saved

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21. **Section 20: Certification Regarding Lobbying**
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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.: 0970-013 Expiration Date: 02/28/2028	
LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP) MODEL PLAN SF - 424 - MANDATORY			
* 1.a. Type of Submission: ☒ Plan	* 1.b. Frequency: ☒ Annual	* 1.c. Consolidated Application/ Plan/Funding Request? Explanation:	* 1.d. Version: ☒ Initial ☐ Resubmission ☐ Revision ☐ Update
		2. Date Received:	State Use Only:
		3. Applicant Identifier:	
		4a. Unique Entity Identifier (UEI) LX4WUTA57963	5. Date Received By State:
		4b. Federal Award Identifier:	6. State Application Identifier:
7. APPLICANT INFORMATION			
* a. Legal Name: State of Arkansas			
* b. Address:			
* Street 1:	5301 Northshore Dr	* Street 2:	
* City:	NORTH LITTLE ROCK	* County:	
* State:	AR	* Province:	
* Country:		* Zip / Postal Code:	72118 - 5328
c. Organizational Unit:			
Department Name: Arkansas Department of Energy and Environment		Division Name: Arkansas Energy Office (AEO)	
d. Name and contact information of person to be contacted on matters involving this application: (person will be listed on Notice of Funding Awards and on the U.S. Department of Health and Human Services' LIHEAP contact list webpage)			
* First Name: Iris		* Last Name: Pennington	
Title: E&E Program Supervisor/Expert		Organizational Affiliation: Arkansas Energy & Environment	
* Telephone Number: 5016820842		Fax Number: 5016820880	
* Email: iris.pennington@arkansas.gov			
* 8. TYPE OF APPLICANT: A: State Government			
* a. Is the applicant a Tribal Consortium: ☐ Yes ☒ No			
* b. If yes please attach at least one the following documentation:			
9. CFDA NUMBERS AND TITLES			
	Catalog of Federal Domestic Assistance Number:	CFDA Title:	
9. CFDA Numbers and Titles	93.568	Low-Income Home Energy Assistance Program	
10. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:			
Arkansas Low Income Home Energy Assistance Program			
11. AREAS AFFECTED BY FUNDING:			
All 75 Arkansas Counties			
12. CONGRESSIONAL DISTRICTS OF APPLICANT:			
2			
13. FUNDING PERIOD:			
a. Start Date: 10/01/2026		b. End Date: 09/30/2027	
* 14. IS SUBMISSION SUBJECT TO REVIEW BY STATE UNDER EXECUTIVE ORDER 12372 PROCESS?			
a. This submission was made available to the State under 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.	
*15. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?	
☐ YES ☒ NO	
If Yes, explain:	
16. By signing this application, I certify (1) to the statements contained in the list of certifications** and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001) **I Agree ☐	
** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.	
17a. Typed or Printed Name and Title of Authorized Certifying Official	17c. Telephone (area code, number and extension)
	17d. Email Address
17b. Signature of Authorized Certifying Official	17e. Date Report Submitted (Month, Day, Year)

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.: 0970-013
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LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP) MODEL PLAN

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. Public reporting burden for this collection of information is estimated to average 1 hour per response, including the time for reviewing instructions, gathering and maintaining the data needed, and reviewing the collection of information. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.

Section 1 Program Components

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

1.1 Check which components you will operate under the LIHEAP program. (Note: You must provide information for each component designated here as requested elsewhere in this plan.)		Dates of Operation	
		Start Date	End Date
☒	Heating assistance	10/01/2026	09/30/2027
☒	Cooling assistance	10/01/2026	09/30/2027
☒	Summer crisis assistance	10/01/2026	09/30/2027
☒	Winter crisis assistance	10/01/2026	09/30/2027
☐	Year-round crisis assistance		
☒	Weatherization assistance	10/01/2026	09/30/2027

Provide further explanation for the dates of operation, if necessary

Heating Assistance is offered the first Monday after the New Year holiday and ends the last business day in April. Intake agencies have the option to begin serving priority (elderly, disabled, children under 6) households up to 30 days earlier. Crisis during the Heating Assistance period extends the full duration of the period, whereas rate reduction (Regular) households end the last business day of March.

Cooling Assistance begins the first Monday after the July 4 holiday and ends the last business day in September. Intake agencies have the option to begin serving priority (elderly, disabled, children under 6) households up to 30 days earlier. Crisis during the Cooling Assistance period extends the full duration of the period, whereas rate reduction (Regular) households end the last business day of August.

If LIHEAP funding significantly varies from what is estimated, AEO may increase or decrease the proposed benefit levels accordingly. Additionally, AEO reserves the right to shorten or extend the program as well as offer supplemental benefits depending on the availability of funds, increased demand, or other factors that impact the expenditure of LIHEAP funds.

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 (%)	Prior year totals
Heating assistance	40.00%	40.00%
Cooling assistance	15.00%	15.00%
Summer crisis assistance	7.50%	7.50%
Winter crisis assistance	7.50%	0.00%

Year-round crisis assistance	0.00%	0.00%
Weatherization assistance	15.00%	15.00%
Carryover to the following federal fiscal year	0.00%	0.00%
Administrative and planning costs	10.00%	10.00%
Services to reduce home energy needs including needs assessment (Assurance 16)	5.00%	5.00%
Used to develop and implement leveraging activities	0.00%	0.00%
TOTAL	100.00%	92.50%

Tribal grant recipients: direct-grant tribes, tribal organizations, or territories with allotments of \$20,000 or less may use for planning and administration up to 20% of the funds payable. Grant recipients that are direct grant tribes, tribal organizations, or territories with allotments over \$20,000 may use for planning and administration purposes up to 20% of the first \$20,000 (or \$4,000) plus 10% of the funds payable that exceeds \$20,000. Any administrative costs in excess of these limits must be paid from non-federal sources.

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

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

☐	Heating assistance	☒	Cooling assistance
☐	Weatherization assistance	☒	Other (specify:) Crisis funds continue through the whole LIHEAP Season passed 3/15.

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

1.4 Do you consider households categorically eligible if at least one household member receives at least one of the following categories of benefits in the left column below? ☐ Yes ☒ No

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

	Heating	Cooling	Crisis	Weatherization
TANF	☐ Yes ☐ No	☐ Yes ☐ No	☐ Yes ☐ No	☐ Yes ☐ No
SSI	☐ Yes ☐ No	☐ Yes ☐ No	☐ Yes ☐ No	☐ Yes ☐ No
SNAP	☐ Yes ☐ No	☐ Yes ☐ No	☐ Yes ☐ No	☐ Yes ☐ No
Means-tested Veterans Programs	☐ Yes ☐ No	☐ Yes ☐ No	☐ Yes ☐ No	☐ Yes ☐ No

1.4a. Provide your definition of categorical eligibility. Please explain how households are categorically eligible (i.e, do all household members need to receive the benefits or just one member, is there a data exchange in place?) and how categorical eligibility streamlines the LIHEAP application process.

At this time, we do not define Categorical Eligibility as we do not use it.

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

If Yes, explain:

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

SNAP Nominal Payments

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

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

1.7b Amount of Nominal Assistance: \$0.00

1.7c Frequency of Assistance

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

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

Determination of Eligibility - Countable Income

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

☒	Gross Income
☐	Net Income

☒	Other - Describe For work income, we collect gross then subtract 20%. For non-work we use gross.	
1.9. Select all the applicable forms of countable income used to determine a household's income eligibility for LIHEAP		
☒	Wages	
☒	Self - Employment Income	
☒	Contract Income	
☐	Payments from mortgage or Sales Contracts	
☒	Unemployment insurance	
☒	Strike Pay	
☒	Social Security Administration (SSA) benefits	
☐	☐ Including MediCare deduction	☒ Excluding MediCare deduction
☒	Supplemental Security Income (SSI)	
☒	Retirement / pension benefits	
☐	General Assistance benefits	
☐	Temporary Assistance for Needy Families (TANF) benefits	
☒	Loans that need to be repaid	
☒	Cash gifts	
☐	Savings account balance	
☒	One-time lump-sum payments, such as rebates/credits, winnings from lotteries, refund deposits, etc.	
☒	Jury duty compensation	
☒	Rental income	
☐	Income from employment through Workforce Investment Act (WIA)	
☐	Income from work study programs	
☒	Alimony	
☒	Child support	
☒	Interest, dividends, or royalties	
☒	Commissions	
☐	Legal settlements	
☐	Insurance payments made directly to the insured	
☐	Insurance payments made specifically for the repayment of a bill, debt, or estimate	
☒	Veterans Administration (VA) benefits	

☐	Earned income of a child under the age of 18
☐	Balance of retirement, pension, or annuity accounts where funds cannot be withdrawn without a penalty.
☐	Income tax refunds
☐	Stipends from senior companion programs, such as VISTA
☒	Funds received by household for the care of a foster child
☐	Ameri-Corp Program payments for living allowances, earnings, and in-kind aid
☐	Reimbursements (for mileage, gas, lodging, meals, etc.)
☒	Other The only one-time lump sum payment counted towards income is lottery winnings. Section 1.2 Percentage Estimates: The figures reported in Section 1.2 are historically reported and accurate at the beginning of the year. However, they may be adjusted between benefit categories during the year as the need arises. Administration, Assurance 16, and Weatherization are capped, however.
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.	
1.10 Do you have an online application process? ☒ Yes ☐ No	
1.10a If yes, describe the type of online application (Select all boxes that apply)	
☒	A PDF version of the application is available online and can be downloaded, filled out and mailed in for processing.
☒	A state-wide online application that allows a customer to complete data entry and submit an application electronically for processing.
☒	One or more locally available online applications that allows a customer to complete data entry and submit an application electronically for processing.
☐	Online application that is also mobile friendly
☒	Other, please describe FY2027 is the first time in the last 7-8 years that Arkansas will have sponsored a state-wide system. It is projected to be available in September 2026. If the system migration is not complete then there will not be a state-wide online application available. Otherwise, One or more local subgrant recipients have an online application that allows a customer to complete data entry and apply electronically for processing. This is not available for the entire state.
Please include a link(s) to a statewide application, if available:	
1.10b Can all program components be applied for online? ☐ Yes ☐ No	
If no, explain which components can and cannot be applied for online.	
1.11 Do you have a process for conducting and completing applications by phone? ☒ Yes ☐ No	
1.12 Do you or any of your subrecipients require in-person appointments in order to apply? ☒ Yes ☐ No	
If yes, please provide more information regarding why in-person appointments are required and in what circumstances they are required. There is not a statewide process for conducting and completing applications by phone. However, we provide the agencies with the option of doing so if they can collect all of the needed information. AEO only requires in-person appointments when questionable information has been submitted.	
1.13 How can applicants submit documentation for verification? Select all that apply:	
☒	In-person
☒	Mail
☒	Email

☒	Portal application
☒	Other, please describe Subgrantees can choose which ways to accept documents that works best for their agency's clients. Policy Excerpt: LIHEAP applications shall be accepted using methods that best meet client needs. Multiple methods to submit an in-person or remote application should be employed to offer accessibility for all households. When offices are not open to the public or have very limited public access, Subgrantees must make applications available to the Arkansas public and accept applications by some alternative means. Methods must be documented in the Subgrantee's Scope of Work and may include: • Email • Fax • In-person • Mail • Secured drop box • Telephone • Text • Web (online) NOTE: Subgrantees must not require that an application be made only in person. AEO may waive this requirement if the Subgrantee presents a request with extenuating circumstances.

Hidden for Section 1

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

Section 2 - Heating Assistance

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

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

Add	Household size	Eligibility Guideline	Eligibility Threshold
1	1	State Median Income	60.00%
2	2	State Median Income	60.00%
3	3	State Median Income	60.00%
4	4	State Median Income	60.00%
5	5	State Median Income	60.00%
6	6	State Median Income	60.00%
7	7	State Median Income	60.00%
8	8	HHS Poverty Guidelines	150.00%
9	9	HHS Poverty Guidelines	150.00%
10	10	HHS Poverty Guidelines	150.00%
11	11	HHS Poverty Guidelines	150.00%
12	12	HHS Poverty Guidelines	150.00%
13	13	HHS Poverty Guidelines	150.00%
14	14	HHS Poverty Guidelines	150.00%
15	15	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

If yes, describe: Do you have additional/differing eligibility policies for:

Renters? ☐ Yes ☒ No

If yes, describe:

Renters Living in subsidized housing? ☒ Yes ☐ No

If yes, describe:

If a household in subsidized housing has utilities included in their rent and does not receive a utility bill, that household is not eligible for LIHEAP assistance, unless the household can demonstrate an energy burden.

To be eligible for a LIHEAP benefit, a household in subsidized housing with utilities included in rent can demonstrate an energy burden by submitting a lease agreement or statement from the landlord reflecting utilities are included in the rent and also providing proof that the household is responsible for a utility surcharge or other extra cost for energy that exceeds the amount covered in the household's rent.

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

If yes, describe:

Unsubsidized households are those households that do not receive assistance as indicated above.

Unsubsidized households with utilities included in their rent may be eligible for LIHEAP assistance if they meet other criteria. A member of the household must submit a lease agreement or

statement from the landlord reflecting that utilities are included in the rent. A household can also demonstrate an energy burden by showing the household is responsible for a utility bill that exceeds the amount covered in the household's rent.

Do you give priority in eligibility to:

Older Adults (60 years or older)?

☒ Yes ☐ No

If yes, describe:

Application intake for PRIORITY ENROLLMENT APPLICANTS who are seeking a Regular, Crisis, or both benefits will begin accepting applications no more than thirty (30) calendar days before other demographics unless otherwise authorized. Priority Enrollment applicants are applicants who are disabled, elderly (sixty or older), or households with children under six (6) years old.

Once the standard LIHEAP season opens to the general public, applications will be processed on a first-come, first-served basis with an emphasis on applicants who have been disconnected, are in threat of disconnection, or are facing a life-threatening situation.

Individuals with a disability?

☒ Yes ☐ No

If yes, describe:

Application intake for PRIORITY ENROLLMENT APPLICANTS who are seeking a Regular, Crisis, or both benefits will begin accepting applications no more than thirty (30) calendar days before other demographics unless otherwise authorized. Priority Enrollment applicants are applicants who are disabled, elderly (sixty or older), or households with children under six (6) years old.

Once the standard LIHEAP season opens to the general public, applications will be processed on a first-come, first-served basis with an emphasis on applicants who have been disconnected, are in threat of disconnection, or are facing a life-threatening situation.

Young children?

☒ Yes ☐ No

If yes, describe:

Application intake for PRIORITY ENROLLMENT APPLICANTS who are seeking a Regular, Crisis, or both benefits will begin accepting applications no more than thirty (30) calendar days before other demographics unless otherwise authorized. Priority Enrollment applicants are applicants who are disabled, elderly (sixty or older), or households with children under six (6) years old.

Once the standard LIHEAP season opens to the general public, applications will be processed on a first-come, first-served basis with an emphasis on applicants who have been disconnected, are in threat of disconnection, or are facing a life-threatening situation.

Households with high energy burdens?

☐ Yes ☒ No

If yes, describe:

Other?

☐ Yes ☒ No

If yes, describe:

Explanations of policies for each "yes" checked above:

Each applicant must provide proof of having an energy burden. The applicant has an energy burden if s/he pays utilities directly (receives a utility bill) or indirectly (utilities are included in rent). Households that receive utility subsidies (such as through reimbursement, allowance, or stipend) are not eligible for LIHEAP benefits unless the household can demonstrate an energy burden.

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.

Application intake for PRIORITY ENROLLMENT APPLICANTS who are seeking a Regular, Crisis, or both benefits will begin accepting applications no more than thirty (30) calendar days before other demographics unless otherwise authorized. Priority Enrollment applicants are applicants who are disabled, elderly (sixty or older), or households with children under six (6) years old.

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



Income



Family (household) size



Home energy cost or need:



Fuel type

☐	Climate/region
☒	Individual bill
☐	Dwelling type
☒	Energy burden (% of income spent on home energy)
☒	Energy need
☐	Other - Describe:

Benefit Levels, 2605(b)(5) - Assurance 5, 2605(c)(1)(B)			
2.6 Describe estimated benefit levels for the fiscal year for which this plan applies. <i>Please note: the maximum and minimum benefits must be shown in the payment matrix.</i>			
Minimum Benefit	\$70	Maximum Benefit	\$665

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
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LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP) MODEL PLAN

Section 3 - Cooling Assistance

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

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

Add	Household size	Eligibility Guideline	Eligibility Threshold
1	1	State Median Income	60.00%
2	2	State Median Income	60.00%
3	3	State Median Income	60.00%
4	4	State Median Income	60.00%
5	5	State Median Income	60.00%
6	6	State Median Income	60.00%
7	7	State Median Income	60.00%
8	8	HHS Poverty Guidelines	150.00%
9	9	HHS Poverty Guidelines	150.00%
10	10	HHS Poverty Guidelines	150.00%
11	11	HHS Poverty Guidelines	150.00%
12	12	HHS Poverty Guidelines	150.00%
13	13	HHS Poverty Guidelines	150.00%
14	14	HHS Poverty Guidelines	150.00%
15	15	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

If yes, describe:

Do you have additional/differing eligibility policies for:

Renters? ☐ Yes ☒ No

If yes, describe:

Renters Living in subsidized housing? ☒ Yes ☐ No

If yes, describe:

If a household in subsidized housing has utilities included in their rent and does not receive a utility bill, that household is not eligible for LIHEAP assistance, unless the household can demonstrate an energy burden.

To be eligible for a LIHEAP benefit, a household in subsidized housing with utilities included in rent can demonstrate an energy burden by submitting a lease agreement or statement from the landlord reflecting utilities are included in the rent and also providing proof that the household is responsible for a utility surcharge or other extra cost for energy that exceeds the amount covered in the household's rent.

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

If yes, describe:

Unsubsidized households are those households that do not receive assistance as indicated above.

Unsubsidized households with utilities included in their rent may be eligible for LIHEAP assistance if they meet other criteria. A member of the household must submit a lease agreement or statement from the landlord reflecting that utilities are included in the rent. A household can also demonstrate an energy burden by showing the household is responsible for a utility bill that exceeds the amount covered in the household's rent.

Do you give priority in eligibility to:	
Older Adults (60 years or older)?	☒ Yes ☐ No
If yes, describe: Application intake for PRIORITY ENROLLMENT APPLICANTS who are seeking a Regular, Crisis, or both benefits will begin accepting applications no more than thirty (30) calendar days before other demographics unless otherwise authorized. Priority Enrollment applicants are applicants who are disabled, elderly (sixty or older), or households with children under six (6) years old. Once the standard LIHEAP season opens to the general public, applications will be processed on a first-come, first-served basis with an emphasis on applicants who have been disconnected, are in threat of disconnection, or are facing a life-threatening situation.	
Individuals with a disability?	☒ Yes ☐ No
If yes, describe: Application intake for PRIORITY ENROLLMENT APPLICANTS who are seeking a Regular, Crisis, or both benefits will begin accepting applications no more than thirty (30) calendar days before other demographics unless otherwise authorized. Priority Enrollment applicants are applicants who are disabled, elderly (sixty or older), or households with children under six (6) years old. Once the standard LIHEAP season opens to the general public, applications will be processed on a first-come, first-served basis with an emphasis on applicants who have been disconnected, are in threat of disconnection, or are facing a life-threatening situation.	
Young children?	☒ Yes ☐ No
If yes, describe: Application intake for PRIORITY ENROLLMENT APPLICANTS who are seeking a Regular, Crisis, or both benefits will begin accepting applications no more than thirty (30) calendar days before other demographics unless otherwise authorized. Priority Enrollment applicants are applicants who are disabled, elderly (sixty or older), or households with children under six (6) years old. Once the standard LIHEAP season opens to the general public, applications will be processed on a first-come, first-served basis with an emphasis on applicants who have been disconnected, are in threat of disconnection, or are facing a life-threatening situation.	
Households with high energy burdens?	☐ Yes ☒ No
If yes, describe:	
Other?	☐ Yes ☒ No
If yes, describe: Each applicant must provide proof of having an energy burden. The applicant has an energy burden if s/he pays utilities directly (receives a utility bill) or indirectly (utilities are included in rent). Households that receive utility subsidies (such as through reimbursement, allowance, or stipend) are not eligible for LIHEAP benefits unless the household can demonstrate an energy burden.	
Explanations of policies for each "yes" checked above:	
3.4 Describe how you prioritize the provision of cooling assistance to vulnerable populations, e.g., benefit amounts, early application periods, etc.	
Application intake for PRIORITY ENROLLMENT APPLICANTS who are seeking a Regular, Crisis, or both benefits will begin accepting applications no more than thirty (30) calendar days before other demographics unless otherwise authorized. Priority Enrollment applicants are applicants who are disabled, elderly (sixty or older), or households with children under six (6) years old.	
Determination of Benefits 2605(b)(5) - Assurance 5, 2605(c)(1)(B)	
3.5 Check the variables you use to determine your benefit levels. (Check all that apply):	
☒ Income	
☒ Family (household) size	
☒ Home energy cost or need:	
☒ Fuel type	
☐ Climate/region	
☒ Individual bill	
☐ Dwelling type	
☒ Energy burden (% of income spent on home energy)	
☒ Energy need	
☐ Other - Describe:	

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

3.6 Describe estimated benefit levels for the fiscal year for which this plan applies. *Please note: the maximum and minimum benefits must be shown in the payment matrix.*

Minimum Benefit	\$70	Maximum Benefit	\$401
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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.: 0970-013
Expiration Date: 02/28/2028

LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP) MODEL PLAN

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	1	State Median Income	60.00%
2	2	State Median Income	60.00%
3	3	State Median Income	60.00%
4	4	State Median Income	60.00%
5	5	State Median Income	60.00%
6	6	State Median Income	60.00%
7	7	State Median Income	60.00%
8	8	HHS Poverty Guidelines	150.00%
9	9	HHS Poverty Guidelines	150.00%
10	10	HHS Poverty Guidelines	150.00%
11	11	HHS Poverty Guidelines	150.00%
12	12	HHS Poverty Guidelines	150.00%
13	13	HHS Poverty Guidelines	150.00%
14	14	HHS Poverty Guidelines	150.00%
15	15	HHS Poverty Guidelines	150.00%

4.2 Provide your LIHEAP program's definition for determining a crisis. If you administer multiple crisis assistance programs (winter, summer, and/or year-round), include all program definitions.

The household must have an energy-related crisis on the date of the Crisis Assistance application and meet both general eligibility and crisis definition requirements. A household is considered in crisis when the applicant:

1. Has a health-related LIFE-THREATENING SITUATION where a clear and present danger to life exists if power or utility is disconnected. 2. Has a current bill due within seven (7) days of the date of the application. 3. Has a past due amount or arrearage on the utility bill. 4. Has been disconnected from service or received a disconnect notice from the vendor that provides the main source of heat or electricity. 4. 1. During the Summer Program, only electric benefits. 4.2. The Subgrantee must verify and document the disconnect status.

5. Has twenty percent (20%) or less of propane or fuel tank capacity and the supplier has refused delivery without payment.

6. Is enrolled in a delayed payment arrangement (DPA).

6.1. If the eligible household has a past-due amount in the DPA that would result in a shutoff or disconnection if the customer defaulted, the Subgrantee may authorize a Crisis benefit. 6.2. The full amount of crisis benefits available may be applied to the amount covered by the DPA, even if the balance of the DPA is more than the available Crisis benefit, unless service will be disconnected even with the LIHEAP assistance. 7. Has a pre-paid electric service that has or will soon exhaust. 7.1. The applicant may be eligible if the household is disconnected, has an outstanding balance/arrearage on the account, has received an alert of a low balance, or has been determined by the Subgrantee to have a low balance. 8. Is using a temporary heating or cooling source due to the supplier's refusal to deliver. 9. Received an eviction notice due to non-payment of the household's energy source. 10. Has an inoperable primary heating system, or 11. Has three (3) weeks or less of wood supply remaining or seven (7) days or less of bottled gas/propane. 11.1. Wood burned in a fireplace is not considered a primary energy source.

Crisis benefits must be paid directly to the energy supplier except as outlined in Arkansas LIHEAP policy Section 7.2 Household Payments.

The Subgrantee should submit an emergency referral to weatherization for applicants without a heating source or whose primary heating source is inoperable.

Applicants who use SOLAR POWER or another RENEWABLE ENERGY source are not eligible for Crisis benefits.

Life-threatening situation is defined: A situation that causes a person's health to become susceptible to harm if the household's home

heating or electricity services are discontinued or not restored.

4.3 What constitutes a life-threatening crisis?

A life-threatening crisis exists when interruption of a household's heating or cooling energy services threatens the health or well-being of at least one household member. To qualify for a life-threatening crisis, the following stipulations are required: a) The household must meet at least one of the conditions defined as crisis in AEO LIHEAP policy. b) The crisis must be imminent, occurring within the past or next eighteen (18) hours, c) The household must meet one of the following conditions: • Extreme Weather Conditions – As defined by the ARKANSAS PUBLIC SERVICE COMMISSION (APSC), General Services Rule 6.15 and Rule 6.18, extreme weather is when the National Weather Service forecasts that a temperature of 32 degrees Fahrenheit or lower (cold weather) or 95 degrees Fahrenheit or higher (hot weather) will occur at any time during the following 24-hour period. For gas utilities, hot weather protection shall be limited to the elderly or INDIVIDUALS WITH DISABILITIES with gas-powered air conditioning units only. Full text of the APSC Rule may be found online at https://apps.apsc.arkansas.gov/rules/general_service_rules_2016.pdf. A summary of the rules may be found online at <https://apsc.arkansas.gov/consumer-services/suspension-of-service/>.

• Medical Conditions – The applicant indicates by any method that one or more household members have a health or medical condition that makes them susceptible to harm if the household's crisis cannot be resolved.

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)

	Winter Crisis	Summer Crisis	Year-Round Crisis
4.6 Do you have additional eligibility requirements for Crisis Assistance?	☒	☒	☐

4.7 Check the appropriate boxes below to indicate type(s) of assistance provided

0

Do you require an Assets test? ☐ ☐ ☐

Do you give priority in eligibility to:

Older Adults (60 years or older)?	☒	☒	☐
Individuals with a disability?	☒	☒	☐
Young Children?	☒	☒	☐
Households with high energy burdens?	☐	☐	☐
Other (Specify):	☒	☒	☐

In Order to receive crisis assistance:

Must the household have received a shut-off notice or have a near empty tank?	☒	☒	☐
Must the household have been shut off or have an empty tank?	☒	☒	☐
Must the household have exhausted their regular heating benefit?	☐	☐	☐
Must renters with heating costs included in their rent have received an eviction notice?	☒	☒	☐
Must heating/cooling be medically necessary?	☒	☒	☐
Must the household have non-working heating or cooling equipment?	☐	☐	☐

Other (Specify): 5.10.1 GRANTING EXCEPTIONS During LIHEAP pre-and post-seasons, AEO may consider application intake policy exception requests from subgrantees on a case-by-case basis. These off-season exceptions will only be considered under the following circumstances: 1. The home to be weatherized is experiencing an energy shut-off; 2. A household is experiencing an energy shut-off and a member has a documented medical need for energy; or 3. A household has a crisis need for assistance during LIHEAP opening, but benefits are not available for the type of energy needed (i.e., gas in the summer). Each exception request must include: An indication of support from the Subgrantee (i.e., a statement from the Subgrantee in their request) The policy number for which the exception is requested A description of the crisis nature of the situation Any additional justification supporting the request A summary of other resources that have been pursued, including their status or outcomes Documentation or information provided by the verifying community partner Confirmation that LIHEAP funding is available to support the request Verification that the requested action complies with LIHEAP requirements (e.g., the client has not exhausted benefits from the most recent LIHEAP season) All requests must be verified by an external (community) partner. Requests submitted directly by a client to the subgrantee without external verification will not be considered.

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

Renters?	☐	☐	☐
Renters living in subsidized housing?	☒	☒	☐
Renters with utilities included in the rent?	☒	☒	☐

Explanations of policies for each "yes" checked above:

4.6 See Crisis Definition in 4.2.

4.7 Priority Eligibility:

Application intake for PRIORITY ENROLLMENT APPLICANTS who are seeking a Regular, Crisis, or both benefits will begin accepting applications no more than thirty (30) calendar days before other demographics unless otherwise authorized. Priority Enrollment applicants are applicants who are disabled, elderly (sixty or older), or households with children under six (6) years old.

Once the standard LIHEAP season opens to the general public, applications will be processed on a first-come, first-served basis with an emphasis on applicants who have been disconnected, are in threat of disconnection, or are facing a life-threatening situation.

4.7 To receive Crisis Assistance: See Crisis Definition in 4.2.

4.7 Additional Eligibility Requirements:

If a household in subsidized housing has utilities included in their rent and does not receive a utility bill, that household is not eligible for LIHEAP assistance, unless the household can demonstrate an energy burden. To be eligible for a LIHEAP benefit, a household in subsidized housing with utilities included in rent can demonstrate an energy burden by submitting a lease agreement or statement from the landlord reflecting utilities are included in the rent and also providing proof that the household is responsible for a utility surcharge or other extra cost for energy that exceeds the amount covered in the household's rent.

Unsubsidized households are those households that do not receive assistance as indicated above.

Unsubsidized households with utilities included in their rent may be eligible for LIHEAP assistance if they meet other criteria. A member of the household must submit a lease agreement or statement from the landlord reflecting that utilities are included in the rent. A household can also demonstrate an energy burden by showing the household is responsible for a utility bill that exceeds the amount covered in the household's rent.

Determination of Benefits**4.8 How do you handle crisis situations?**

☒	Separate component
☒	Benefit Fast Track, no separate amount of crisis funds is issued. Rather benefits are issued to crisis customers within crisis response time frames.
☒	Other - Describe: If the regular benefit is large enough to cover the crisis, an applicant may use it and then later submit different application for crisis if necessary.

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

☒	Amount to resolve the crisis. \$700
☒	Other - Describe: Community based organizations must evaluate the customer's need and determine whether to use regular and crisis benefits together or separately. If either the regular or crisis benefit is enough to bring the account current, the CBO may choose the best benefit for the household or however the customer chooses. If the regular benefit is not sufficient, the CBO can use the Crisis benefit up to the allowable amount of \$600 to alleviate the crisis. However, if the \$600 is not enough to alleviate the crisis, it might be necessary for the applicant or CBO to find another resource to help supplement the benefit so that the account is either restored disconnection prevented.

Crisis Requirements, 2604(c)**4.10 Do you accept applications for energy crisis assistance at sites that are geographically accessible to all households in the area to be served?**

☒ Yes ☐ No Explain.

Applications for energy assistance are taken by fifteen (15) Community Based Organizations throughout the state. With a few exceptions, the CBOs have outreach offices in all 75 counties in Arkansas.

4.11 Do you provide individuals who are individuals with a disability the means to:

Submit applications for crisis benefits without leaving their homes?

☒ Yes ☐ No

If No, explain.

Transportation is not universally provided. However, Arkansas LIHEAP policy accommodates individuals with disabilities, as follows:

Subgrantees must not require that an application be made only in person. LIHEAP applications are accepted using methods that best meet client needs. Multiple methods to submit an application should be employed to offer accessibility for all households. Methods must be documented in the Subgrantee's Scope of Work and may include:

1) Email

- 2) Fax
- 3) Postal mail
- 4) Secured drop box
- 5) Telephone
- 6) Text
- 7) Online

Subgrantees may consider non-traditional office hours during the LIHEAP season to accommodate applicants who have obstacles to applying. Extended office hours, using adjusted work schedules for Subgrantee staff, may be considered to maximize access to services.

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

☐ Yes ☒ No

If No, explain.

Transportation is not universally provided, some of the CBOs offer a "pop-up" option where the agency's staff will post a schedule of when they are in a centralized location within communities to accept walk-in applications.

Arkansas LIHEAP policy accommodates by allowing the following:

LIHEAP applications shall be accepted using methods that best meet client needs. Multiple methods to submit an in-person or remote application should be employed to offer accessibility for all households. When offices are not open to the public or have very limited public access, Subgrantees must make applications available to the Arkansas public and accept applications by some alternative means. Methods must be documented in the Subgrantee's Scope of Work and may include:

- Email
- Fax
- In-person
- Mail
- Secured drop box
- Telephone
- Text
- Web (online)

Subgrantees may consider non-traditional office hours during the LIHEAP season to accommodate applicants who have obstacles to applying. Extended office hours, using adjusted work schedules for the Subgrantee staff, may be considered to maximize access to services.

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?

Transportation is not universally provided. However, Arkansas LIHEAP policy accommodates individuals with disabilities, as follows:

Subgrantees must not require that an application be made only in person. LIHEAP applications are accepted using methods that best meet client needs. Multiple methods to submit an application should be employed to offer accessibility for all households. Methods must be documented in the Subgrantee's Scope of Work and may include:

- 1) Email
- 2) Fax
- 3) Postal mail
- 4) Secured drop box
- 5) Telephone
- 6) Text
- 7) Online

Subgrantees may consider non-traditional office hours during the LIHEAP season to accommodate applicants who have obstacles to applying. Extended office hours, using adjusted work schedules for Subgrantee staff, may be considered to maximize access to services.

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

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

Winter Crisis	\$700.00 maximum benefit
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Summer Crisis	\$700.00 maximum benefit
Year-round Crisis	\$0.00 maximum benefit

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

☒ Yes ☐ No If yes, Describe

The Weatherization Assistance Program (WAP) provides emergency weatherization services for households lacking heat or air conditioning. To provide these emergency services, WAP is authorized to bypass waiting lists and priority points. If a household has previously been weatherized and is not eligible for re-weatherization, WAP is authorized to use LIHEAP funds to address HVAC only.

Weatherization agencies can loan window air conditioners until they can make permanent repair or installation of an HVAC unit.

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

☒ Yes ☐ No

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

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

	Winter Crisis	Summer Crisis	Year-round Crisis
Heating system repair	☐	☐	☐
Heating system replacement	☐	☐	☐
Cooling system repair	☐	☐	☐
Cooling system replacement	☐	☐	☐
Wood stove purchase	☐	☐	☐
Pellet stove purchase	☐	☐	☐
Solar panel(s)	☐	☐	☐
Utility poles / gas line hook-ups	☐	☐	☐
Other (Specify): Propane tank rental, line repairs, and other required charges. Propane tank rental, line repairs, and other required charges, Cooling & Heating system repair or replacement offered through Weatherization, which can use LIHEAP funds. The Disaster Relief Program is a crisis program. If it is necessary to provide replacement or repair of certain equipment during operation, crisis funding can be used.	☒	☒	☐

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

☒ Yes ☐ No

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

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

Energy suppliers of natural gas and electricity who are investor-owned utilities are regulated by the Arkansas Public Service Commission, which may implement a moratorium in extreme low temperatures or extreme high temperatures during a declared emergency.

4.18 If you experience a natural disaster, do you intend to utilize LIHEAP crisis funds to address disaster related crisis situations? ☒ Yes ☐ No

If yes, describe

Arkansas LIHEAP does have a disaster relief section in the policy that outlines how benefits can be used contingent upon AEO's approval

and availability of funding.

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

Section 5 - WEATHERIZATION ASSISTANCE

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

August 1987, revised 05/92, 02/95, 03/96, 12/98, 11/01
OMB Clearance No.: 0970-013
Expiration Date: 02/28/2028

LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP) MODEL PLAN

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 and attach a copy of the Internal Agreement or Contract.

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:

Cleaning, tuning, evaluating, repairing, and replacing heating and cooling systems will be allowed outside of DOE rules in order to provide safe, adequately and efficiently conditioned living spaces to reflect LIHEAP's focus on health and safety. Households previously weatherized within the last fifteen years may be weatherized again, if determination is made that initial weatherization was substandard.

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

5.8 Do you give priority in eligibility to:

Older Adults?	☒ Yes ☐ No
Individuals with a disability?	☒ Yes ☐ No

Young Children?	☒ Yes ☐ No
House holds with high energy burdens?	☒ Yes ☐ No
Other?	☒ Yes ☐ No
If you selected "Yes" for any of the options in questions 5.6, 5.7, or 5.8, you must provide further explanation of these policies in the text field below. 5.7 Additional Eligibility Policy: Landlord must sign to allow weatherization. 5.8 Priority: LIHEAP/WAP reflects DOE priorities for service if there is a waiting list.	
Benefit Levels	
5.9 Do you have a maximum LIHEAP weatherization benefit/expenditure per household? ☐ Yes ☒ No	
5.9a If yes, what is the maximum? \$0	
5.10 Do you use an Average Cost per Unit (ACPU). ☒ Yes ☐ No	
5.10a If so, what is the ACPU amount? \$8,547	
Types of Assistance, 2605(c)(1), (B) & (D)	
5.11 What LIHEAP weatherization measures do you provide ? (Check all categories that apply.)	
☒ Weatherization needs assessments/audits	☐ Energy related roof repair
☒ Caulking and insulation	☐ Major appliance repairs
☐ Storm windows	☐ Major appliance replacement
☒ Furnace/heating system modifications/repairs	☒ Windows/sliding glass doors
☒ Furnace replacement	☒ Doors
☒ Cooling system modifications/repairs	☒ Water Heater
☐ Water conservation measures	☒ Cooling system replacement
☐ Roof top solar	☐ Community solar projects
☐ Compact florescent light bulbs	☐ Other - Describe: Health and Safety measures such as installing carbon monoxide and smoke detectors, minor plumbing, electrical, roof or flooring repairs, minor drainage, gutters and downspouts, and removal of unvented space heaters. Attic and floor sealing, LED light bulbs, duct sealing and general heat waste reduction are also provided. Weatherization uses Weatherization Readiness as a supplemental program to address the issues of homes which have been deferred for Weatherization. Weatherization Readiness enables additional repairs to be performed which are beyond the scope of Weatherization. It prevents the house from being deferred until necessary repairs are completed by some other funding source. Weatherization Readiness repairs with LIHEAP funds are limited to a maximum of \$600 each.
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
OMB Clearance No.: 0970-013
Expiration Date: 02/28/2028

LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP) MODEL PLAN

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

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

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

The above are methods allowed by AEO for CBOs. AEO usually only posts to the website. Other allowable methods include, but are not limited to, mailing lists, door-to-door, geo-targeting, participation at benefits fairs, hosting senior center events, print media (billboards, newspapers, flyers, magazines, postcards), broadcast media (radio and television), visiting places of worship or social clubs, and operating a mobile unit.

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

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

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.: 0970-013
Expiration Date: 02/28/2028

LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP) MODEL PLAN

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

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



Joint application for multiple programs (indicate programs included)



Intake referrals to/from other programs (indicate programs included) Weatherization, CSBG, Power to Care



One - stop intake centers



Other - Describe:

Referrals are made to Weatherization through LIHEAP applications. All applicants eligible for LIHEAP are considered categorically eligible for Weatherization.

In some counties, the CBOs share an office with DWS and other service providers.

CBOs operating other programs for low-income households, such as CSBG, will make those program services available to eligible LIHEAP applicants.

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

August 1987, revised 05/92, 02/95, 03/96, 12/98, 11/01
OMB Clearance No.: 0970-013
Expiration Date: 02/28/2028

LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP) MODEL PLAN

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

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

☐	Administration Agency
☐	Commerce Agency
☐	Community Services Agency
☒	Energy/Environment Agency
☐	Housing Agency
☐	State Department of Welfare (administers TANF, SNAP, and/or Medicaid)
☐	Economic Development Agency
☐	Other - Describe:

Include current list of subrecipient name, main office address (do not list P.O. Box), phone number, county(s) served, Congressional District, and UEI number. *Used for Near hotline and OCS Service Provider Tool and clearinghouse.*

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

If you selected "State Department of Welfare (administers TANF, SNAP, and/or Medicaid)" 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	Non-profits
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?				Non-profits

Include a current list of subrecipient(s) name, main office address (do not list P.O. Box), phone number, county(s) served, Congressional District, and UEI number.

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?

Arkansas LIHEAP uses the Request for Qualifications (RFQ) process to secure providers for the implementation of the LIHEAP program. The state currently partners with fifteen (15) Community Based Organizations (CBOs).

LIHEAP/Weatherization also uses RFQ under DOE guidelines. Arkansas Weatherization has subgrants with CBOs and other non-profit organizations to implement the Weatherization program.

8.7 How many local administering agencies do you use? 14

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

☒ Yes

☐ No

8.9 If so, why?



Agency was in noncompliance with Grant recipient requirements for LIHEAP -



Agency is under criminal investigation



Added agency



Agency closed



Other - describe

AEO identified compliance issues regarding CAA. When AEO issued a notice of deficiency, the agency chose to terminate services citing lack of administrative funding.

8.10 If a subrecipient is no longer providing LIHEAP, are you aware of prior-year LIHEAP funds being mismanaged or misspent? ☐ Yes

☒ No

8.10a If yes, please explain.

8.10b If you are aware, were other federal programs impacted such as CSBG, SSBG, Head Start, TANF, and Department of Energy Weatherization funding, etc. ☐ Yes ☒ No

8.10c If yes, please explain.

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

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

9.1 Do you make payments directly to home energy suppliers?

Heating ☐ Yes ☒ No

Cooling ☐ Yes ☒ No

Crisis ☐ Yes ☒ No

Are there exceptions? ☒ Yes ☐ No

If yes, Describe.

Community-Based Organizations, except for the Central Delta Community Action Agency (CDCAA), make payments to home energy suppliers. Arkansas Energy Office makes payments on behalf of CDCAA.

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

Community-Based Organizations send a Notice of Action (AEO 2001) which details the status of their application. This information includes whether the application was approved or denied. If denied, it includes the reason for denial. If approved, the information includes the LIHEAP payment amount and the name of the energy supplier.

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

Community-Based Organizations, prior to making a direct payment, must have a signed supplier agreement with the energy supplier. The agreement outlines LIHEAP policies and regulations that govern the energy supplier when accepting LIHEAP payments; LIHEAP client rights are outlined in the agreement as well. The LIHEAP Arkansas Home Energy Supplier Agreement, Item C, between the energy supplier and the Community-Based Organization, states that the recipients will be charged using the "Normal Billing Process." This is the difference between the actual cost of the home energy and the amount of all payments, including the LIHEAP payment.

The energy supplier is subject to monitoring by the Arkansas Energy Office and the Community-Based Organization in order to assure compliance. Any client complaint of not seeing the LIHEAP payment as a credit on his/her account is investigated.

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?

This is included in the Supplier Agreement established between each energy supplier and the Community-Based Organization. Also, the Arkansas Energy Office and the Community-Based Organizations follow up on any client complaints.

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.

Attach a copy of the template statewide vendor agreement or a policy that indicates local agreements must adhere to statewide policies and assurances.

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

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

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

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

The Arkansas Energy Office (AEO) is required to follow the Arkansas Department of Finance and Administration (DFA) fiscal policies and procedures, which are in compliance with federal fiscal regulations. AEO also adheres to LIHEAP federal regulations.

Community-Based Organizations' (CBOs) requests for funds and reimbursements are submitted with supporting documentation, which are then compared to approved budgets and weekly cumulative reports that show applications received, approved, and expenditures made to utilities. At least monthly, the CBOs submit canceled checks paid to energy suppliers. Each CBO is responsible for using its own respective software program(s) to track expenditures, including benefit payments, and report expenditures to AEO.

AEO's Fiscal Coordinator tracks and maintains a 'live' spreadsheet of all invoices and reimbursement requests and provides detailed spenddown of each agency allocation throughout each fiscal year. This includes all grant funding sources.

The Arkansas Department of Energy and Environment's Fiscal Division tracks all grant spending via the Arkansas Administrative Statewide Information System (AASIS) which complies with and supports policies and procedures promulgated by the DFA Offices of Budget, Personnel Management, Accounting, State Procurement, and the Division of Employee Benefits.

Based on federal requirements to have an annual single agency audit, AEO requires a copy of each CBO's audit report when it becomes available and reviews the findings for any needed follow-up.

LIHEAP funds are utilized to operate the Arkansas Weatherization Program. However, both the LIHEAP and Weatherization programs are operated by the Arkansas Energy Office, and there is no transfer of funds to a second state agency.

Supplier Agreements are obtained annually from each energy service provider that accepts payment from the LIHEAP program. By signing these agreements, the supplier agrees to return any unused benefit dollars to the CBO from which the benefit dollars were issued, per Section IV of the Supplier Agreement. The CBO will then return the funds to AEO with the following information: Case Name, Case Number, Date of Check, Reason for refund, and Amount of refund.

10.1a Provide your definitions of the following:

Obligation

Obligation – An agreement the Subgrantee obtains from the energy supplier guaranteeing that the household's services will be continued, restored, or delivered in return for payment within the policy timeframes by the Subgrantee on the household's behalf.

Fiscal Obligation – an action that commits the funds; for example, through the issuance of a pledge on behalf of a household or through a contract or subgrant for the purchase of services.

Expenditures

The payment of funds to a third party as a result of an obligation.

Expenditure timeframe

Grant funds can be spent from October 1, 2026, to September 30, 2027, with ten percent (10%) allowable to be carried over and spent during October 1, 2027, to September 30, 2028.

Administrative costs

Those Subgrantee costs that cannot be identified with any single program (block grant) but are indispensable to the conduct of agency activities and to the organization's survival.

Audit Process

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

☒ Yes ☐ No

10.2a - if yes, describe your auditor selection process.

The Arkansas Energy Office, as a part of the Arkansas Department of Energy and Environment, is audited annually by legislative auditors. Community-Based Organizations select their auditors based on their agency's procurement policy.

10.3. Describe any audit findings of the grant recipient (i.e. State/Tribe/Territory) rising to the level of material weakness or reportable condition cited in the single audits, inspector general reviews, or other government agency reviews 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 Grant recipient as part of compliance process.
- ☒ Grant recipient conducts fiscal and program monitoring of local agencies/district offices
- ☒ Local agencies and district offices are required to have an annual audit in compliance with Single Audit Act and OMB Circular A-133

Compliance Monitoring

10.5. Describe your monitoring process for compliance at each level below. Check all that apply.

Grant recipients have a policy in place for appropriate separation of duties and internal controls.

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

Local Administering Agencies/District Offices:

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

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

The Arkansas Energy Office (AEO) is working to develop a secure system where AEO has access to client files to enable desk reviews by AEO LIHEAP staff. Program evaluations, including results of client file sampling and reviews may be conducted via Zoom or other remote means.

Until the system is fully developed, the LIHEAP team will conduct in-person monitoring visits to evaluate compliance. A tentative schedule is attached.

10.7. Describe how you select local agencies for monitoring reviews. Attach a risk assessment if subrecipients are utilized.

Site Visits:

AEO developed a tentative monitoring schedule which is attached.

Desk Reviews:

Potential problems or complaints will be reviewed. Upon request from AEO, Community-Based Organizations send redacted client files if there is a problem or complaint. Desk reviews cover application, documentation, determination of eligibility and amount of benefit, notification to client, and payment to energy supplier as well as overall adherence to LIHEAP policies and procedures.

Each CBO has the option of administering the program using software of their choice. Some of the CBOs have made data available to AEO electronically, which will allow for remote monitoring of some applicant files.

10.8. How often is each local agency monitored? Please attach a monitoring schedule if one has been developed.

Triannually

10.9. How many local agencies are currently on corrective action plans?

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

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

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Section 11: Timely and Meaningful Public Participation, 2605(b)(12), 2605(C)(2)		
11.1 How did you obtain input from the public in the development of your LIHEAP plan? Select all that apply. <i>Note: Tribes do not need to hold a public hearing but must ensure participation through other means.</i>		
☐ Tribal Council meeting(s)		
☒ Public Hearing(s)		
☒ Draft Plan posted to website and available for comment		
☐ Hard copy of plan is available for public view and comment		
☐ Comments from applicants are recorded		
☒ Request for comments on draft Plan is advertised		
☒ Stakeholder consultation meeting(s)		
☒ Comments are solicited during outreach activities		
☒ Other - Describe:		
The Arkansas Energy Office makes the plan available to our LIHEAP network of Community-Based Organizations and specifically asks for their input.		
Public Hearings, 2605(a)(2) - For States and the Commonwealth of Puerto Rico Only		
11.2 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		
11.3. How many parties commented on your plan at the hearing(s)?		
11.4 Summarize the comments you received at the hearing(s).		
11.5 What changes did you make to your LIHEAP plan as a result of public participation and solicitation of input?		
If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.		

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

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

12.1 How many fair hearings did the Grant recipient have in the prior federal Fiscal Year? 0

12.2 How many of those fair hearings resulted in the initial decision being reversed? 0

12.3 Describe any policy and/or procedural changes made in the last federal Fiscal Year as a result of fair hearings?

n/a

12.4 Describe your fair hearing procedures for households whose applications are denied and/or not acted upon in a timely manner.

see attached policy

12.5 When and how are applicants informed of these rights?

at the time of application if in person and through an NOA. Policy requirement provided below:

16.2 NOTIFICATION OF RIGHT TO APPEAL

Subgrantee or Contractor (Subgrantee) must inform applicants of the appeals and hearing process verbally and in writing. They may inform an applicant of their right to appeal by:

- Providing onsite postings of the appeals and hearing process,
- Verbally explaining the process to the applicant at the time of application,
- Providing information in other languages spoken by applicants, when necessary,
- Ensuring that the appeals and hearing information is included with the application as well as any other effective place such as the agency website.

The Subgrantee must also inform the applicant in writing that a Request for Review (LIHEAP RFAH-1) may be submitted to its office within thirty (30) calendar days of receiving notification of a decision about the application. Additionally, the Subgrantee must inform the applicant that a Request for Review (LIHEAP RFAH-1) may be submitted to AEO within thirty (30) calendar days of receiving notification of the decision regarding the application. The postmark or electronic date stamp on the notification of a decision about the application will serve as evidence of the date of receipt.

If received by the Subgrantee, the appeal will be sent by the Subgrantee to AEO within five (5) business days.

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

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

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

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

Citation from LIHEAP Policy:

2.3 ASSURANCE 16

Under A-16 of the LIHEAP Statute and pending the availability of funds, AEO may, at its discretion, use up to five percent (5%) of LIHEAP funds to provide services that encourage and enable households to reduce HOME ENERGY needs and thereby reduce the need for energy assistance. AEO will notify Subgrantees if A-16 funding is available after receiving the fiscal year allocation from DHHS, usually at the end of October. The notification will include a deadline for Subgrantees to respond if interested in offering an A-16 program. Those who choose to offer A-16 will receive an A-16 allocation when grant agreements are sent to them.

A-16 is intended to develop information and energy education materials to LIHEAP clients. Energy education can include but is not limited to providing resources to clients to aid them in communicating more effectively with energy vendors to maintain service, providing information on reducing energy usage, obtaining energy efficiency services, and working with clients to improve financial management skills that help clients proactively manage energy bills. This program should ultimately reduce a household's dependence on energy assistance and promote a higher degree of self-sufficiency. An effective A-16 program will be transformative, impactful, and sustainable for each participating HOUSEHOLD.

Subgrantee staff who work in the A-16 program should be trained to recognize and be responsive to the legitimate needs of clients. This includes building a network of resources to be able to respond, becoming familiar with available government resources, and training staff using formal activities.

Participating Subgrantees are required to make information about A-16 services available and easily accessible to vulnerable populations. Activities should move applicants from dependency to self-sufficiency. Subgrantees must also conduct referral and advocacy. Subgrantees that offer A-16 must collect and document information required by the U.S. Department of Health and Human Services, including, but not limited to:

- The impact of A-16 activities on the number of households served,
- The direct benefits provided to those households, and
- The number of households that remain unserved.

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

Citation from LIHEAP Policy:

2.3 ASSURANCE 16

Under A-16 of the LIHEAP Statute and pending the availability of funds, AEO may, at its discretion, use up to five percent (5%) of LIHEAP funds to provide services that encourage and enable households to reduce HOME ENERGY needs and thereby reduce the need for energy assistance. AEO will notify Subgrantees if A-16 funding is available after receiving the fiscal year allocation from DHHS, usually at the end of October. The notification will include a deadline for Subgrantees to respond if interested in offering an A-16 program. Those who choose to offer A-16 will receive an A-16 allocation when grant agreements are sent to them.

A-16 is intended to develop information and energy education materials to LIHEAP clients. Energy education can include but is not limited to providing resources to clients to aid them in communicating more effectively with energy vendors to maintain service, providing information on reducing energy usage, obtaining energy efficiency services, and working with clients to improve financial management skills that help clients proactively manage energy bills. This program should ultimately reduce a household's dependence on energy assistance and promote a higher degree of self-sufficiency. An effective A-16 program will be transformative, impactful, and sustainable for each participating HOUSEHOLD.

Subgrantee staff who work in the A-16 program should be trained to recognize and be responsive to the legitimate needs of clients. This includes building a network of resources to be able to respond, becoming familiar with available government resources, and training staff using formal activities.

Subgrantees may use up to five percent (5%) of their yearly allocation to conduct A-16 activities. Subgrantees should be innovative and purposefully proactive in meeting needs when developing their plan. A-16 funds may not be used to increase Subgrantee staff salaries fully funded by LIHEAP or other agency funds or pay staff bonuses. The plan should include a statement acknowledging that A-16 funds will not be used to increase staff salaries or to pay bonuses.

The plan must identify issues and how participation in the program will address these issues. Subgrantees must design their program to be convenient, if possible, and not cause a hardship on the household. Subgrantees that participated in A-16 the prior year must provide in their plan:

1. A description of the impact of A-16 activities on the number of households served in the previous Federal Fiscal Year,
2. A description of the level of direct benefits provided to those households in the previous Federal Fiscal Year,
3. The number of households that received A-16 services.

2.3.2 A-16 Incentives

Subgrantees may offer clients a participation incentive up to a maximum of \$600.00 payable to the utility company. The incentive may not be paid directly to the household.

When an A-16 participating household receives a disconnect notice for a utility bill, the Subgrantee also may provide assistance to prevent service disruption. The payment to prevent disconnection in this instance may not exceed \$300.00 for the duration of A-16 activities.

If the Subgrantee chooses to offer incentives, the Subgrantee should plan for such assistance in its annual budget/Subgrantee Agreement.

13.3 Describe the impact of such activities on the number of households served in the previous federal Fiscal Year.

Outlines as reported by individual Community Action Agencies Attached.

13.4 Describe the level of direct benefits provided to those households in the previous federal Fiscal Year.

Outlines as reported by individual Community Action Agencies Attached.

13.5 How many households received these services? 781

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

Section 14 - Leveraging Incentive Program ,2607A

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Section 14:Leveraging Incentive Program, 2607(A)

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

☐ Yes ☒ No

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

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?
1			

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

Section 15 - Training

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Section 15: Training

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

a. Grant recipient Staff:

☒ Formal training provided virtually, on-site, and/or formal training conference

How often?

☒ Annually

☐ Biannually

☒ As needed

☒ Other, describe: see below

☒ Employees are provided with policy manual

☒ Other, describe:

Grantee staff attends new staff orientation. AEO-LIHEAP staff participate in virtual and in-person meetings sponsored by DHHS/OCS, NEADA, NEUAC, and Apprise. Staff also solicits periodic advice from Apprise and VERVE.

b. Local Agencies:

☒ Formal training provided virtually, on-site, and/or formal training conference

How often?

☒ Annually

☐ Biannually

☒ As needed

☒ Other, describe: see below

☒ On-site training

How often?

☐ Annually

☐ Biannually

☐ As needed

☐ Other, describe:

☒ Employees are provided with policy manual

☒ Other, describe:

AEO meet with agencies on a monthly basis to provide updates and to respond to questions that are presented. AEO also uses the monthly meeting to address questions that have been presented throughout the month and give CAAs the opportunity to weigh in.

In 2024, AEO changed the training model. We began hosting regional meetings that allowed area CBOs to come into a location that was local to four regions of the state for training. AEO staff moved to the next region during the next week. CBO staff responded well to the smaller groups. They were more open to asking questions.

AEO will continue with this model in 2026.

When technology is available, these meetings will be recorded.

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: AEO issue annual surveys to suppliers to keep them aware of LIHEAP practices and to get information regarding the way suppliers operate. In 2026, AEO will be inviting suppliers to join monthly meetings as well as regional trainings at different times.

15.2 Does your training program address fraud reporting and prevention?

☒ Yes
☐ No

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

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

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Section 16: Performance Goals and Measures, 2605(b) - Required for States Only

16.1 Describe your progress toward meeting the data collection and reporting requirements of the four required LIHEAP (Benefit Targeting Index, Burden Reduction Targeting Index, Restoration of Home Energy Service, and Prevention of Loss of Home Energy Service). Include timeframes and plans for meeting these requirements and what you believe will be accomplished in the coming federal fiscal year.

The Arkansas Energy Office (AEO) has established policy expectations for CBOs to ensure they are collecting and entering accurate and complete data into their software for LIHEAP performance measures. Applications are revised to collect any new required data. Agencies are required to submit a weekly report (routinely) and a monthly report (upon request) during the program year to keep a focus on data collection.

AEO contracts with Communities Unlimited to collect data used to compile the quarterly reports, the household report, and the LIHEAP performance measures report as required. After the closeout of each program season, data will be collected and examined for any problems.

Listings of LIHEAP clients will be sent to energy suppliers to collect data for customer households to be used for the performance data report.

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

Section 17 - Program Integrity, 2605(b)(10)

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

17.1 Fraud Reporting Mechanisms

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



Online Fraud Reporting



Dedicated Fraud Reporting Hotline



Report directly to local agency/district office or Grant recipient 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:

AEO has a Benefits Fraud Reporting form for reporting fraud. The form is located on the AEO webpage at https://www.adeq.state.ar.us/complaints/forms/fraud_complaint.aspx.

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



Printed outreach materials



Posted in local administering agencies offices.



Addressed on LIHEAP application



Website



Other - Describe:

17.2. Identification Documentation Requirements

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

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

	Required	Requested	Household Required	Household Requested	Members Required	Members Requested
1	☐	☐	☐	☐	☐	☐
17.3. Citizenship/Legal Residency Verification						
What are your procedures for ensuring LIHEAP recipients are U.S. citizens or qualified non-citizens who are eligible to receive LIHEAP benefits? Select all that apply.						
☐ Clients sign an attestation of citizenship or U.S. Citizen or Qualified Non-Citizen						
☒ Client's submission of certain Social Security Administration cards is accepted as proof of U.S. Citizen or Qualified Non-Citizen.						
☒ Non-Citizens must provide documentation of immigration status						
☐ Citizens must provide a copy of their birth certificate, naturalization papers, or passport						
☐ Non-Citizens are verified through the SAVE system						
☐ Tribal members are verified through Tribal enrollment records/Tribal ID card						
☒ Other - Describe: Section 205(c)(2)(C)(i) of the Social Security Act authorizes states to require Social Security numbers (SSN) as a condition of eligibility for use in verifying the identity of individual applicants and their household members. Applicants must provide the SSN or Individual Tax Identification Number (ITIN) for each household member. Applicants must verify the SSN for each adult (aged 18 or older) in the household. LIHEAP benefits will be denied for any applicant who does not provide the SSN or ITIN for any household member, except as outlined in AEO LIHEAP policy, including sections 4.3.1 and 4.3.2. The Subgrantee may use the Social Security card or any other government or school document that includes the Social Security number to verify the SSN. A copy of the document used to verify the SSN must be kept in the applicant's file. If a household member's name does not change, the Subgrantee may use copies of the document verifying SSNs in future seasons. A copy of the verification document(s) must be placed in the applicant's case file for the current season.						
17.4. 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: Contribution Statements are required from persons outside the household who contribute to zero-income households. Bank statements are accepted in specific circumstances as a last resort.						
☒ 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:						
b. Describe any exceptions to the above policies.						
17.5 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 Grant recipients only)
☐	Match SSN/Tribal ID number with tribal database or enrollment records (for tribal Grant recipients only)
☒	Other - Describe: Division of Workforce Services (Department of Commerce) iWage is used to verify SSN when verifying wages and benefits for adults in household.
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
☐	Grant recipient LIHEAP database includes privacy/confidentiality safeguards
☒	Employee training on confidentiality for:
☒	Grant recipient employees
☒	Local agencies/district offices
☒	Employees must sign confidentiality agreement
☐	Grant recipient employees
☒	Local agencies/district offices
☒	Physical files are stored in a secure location
☒	Electronic files are protected in a secure location.
☒	Other - Describe: Any transfer of Personally Identifiable Information (PII) is protected through encryption or redacted to protect the applicant's sensitive information.
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
☐	Grant recipient and/or local agencies/district offices perform physical monitoring of vendors
☐	Other - Describe and note any exceptions to policies above:
17.8. Benefits Policy - Gas and Electric Utilities	
What policies are in place to protect against fraud when making benefit payments to gas and electric utilities on behalf of clients? Select all that apply.	
☐	Applicants required to submit proof of physical residency
☒	Applicants must submit current utility bill
☒	Data exchange with utilities that verifies:
☒	Account ownership
☒	Consumption
☒	Balances
☒	Payment history
☐	Account is properly credited with benefit
☐	Other - Describe:
☐	Centralized computer system/database tracks payments to all utilities
☐	Centralized computer system automatically generates benefit level

☒	Separation of duties between intake and payment approval
☐	Payments coordinated among other energy assistance programs to avoid duplication of payments
☒	Payments to utilities and invoices from utilities are reviewed for accuracy
☐	Computer databases are periodically reviewed to verify accuracy and timeliness of payments made to utilities
☒	Direct payment to households are made in limited cases only
☒	Procedures are in place to require prompt refunds from utilities in cases of account closure
☒	Vendor agreements specify requirements selected above, and provide enforcement mechanism
☐	Other - Describe:
17.9. Benefits Policy - Bulk Fuel Vendors	
What procedures are in place for averting fraud and improper payments when dealing with bulk fuel suppliers of heating oil, propane, wood, and other bulk fuel vendors? Select all that apply.	
☐	Vendors are checked against an approved vendors list
☐	Centralized computer system/database is used to track payments to all vendors
☒	Clients are relied on for reports of non-delivery or partial delivery
☐	Two-party checks are issued naming client and vendor
☒	Direct payment to households are made in limited cases only
☐	Vendors are only paid once they provide a delivery receipt signed by the client
☐	Conduct monitoring of bulk fuel vendors
☐	Bulk fuel vendors are required to submit reports to the grant recipient.
☒	Vendor agreements specify requirements selected above, and provide enforcement mechanism
☐	Other - Describe:
17.10. Investigations and Prosecutions	
Describe the Grant recipients procedures for investigating and prosecuting reports of fraud, and any sanctions placed on clients, staff, or vendors found to have committed fraud. Select all that apply.	
☐	Refer to state Inspector General
☐	Refer to local prosecutor or state Attorney General
☐	Refer to US DHHS Inspector General (including referral to OIG hotline)
☒	Local agencies/district offices or Grant recipient conduct investigation of fraud complaints from public
☒	Grant recipient attempts collection of improper payments. If so, describe the recoupment process AEO will investigate the nature of the improper payment and require corrective action. Ultimately, the CBO must reimburse LIHEAP with non-federal funds if payment cannot be collected. AEO requires that each agency have a policy in place to handle any fraud activity that occurs.
☒	Clients found to have committed fraud are banned from LIHEAP assistance. For how long is a household banned?
☐	Contracts with local agencies require that employees found to have committed fraud are reprimanded and/or terminated
☒	Vendors found to have committed fraud may no longer participate in LIHEAP
☐	Other - Describe:
If any of the above questions require further explanation or clarification that could not be made in the fields provided, attach a document with said explanation here.	

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

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

Instructions for Certification

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

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

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

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

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

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

1. By signing and/or submitting this application or grant agreement, the Grant recipient 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 Grant recipient 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 Grant recipients other than individuals, Alternate I applies.
4. For Grant recipients who are individuals, Alternate II applies.
5. Workplaces under grants, for Grant recipients other than individuals, need not be identified on the certification. If known, they may be identified in the grant application. If the Grant recipient does not identify the workplaces at the time of application, or upon award, if there is no application, the Grant recipient 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 Grant recipients 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 Grant recipient 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. Grant recipients 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 Grant recipient 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 Grant recipients payroll. This definition does not include workers not on the payroll of the Grant recipient (e.g., volunteers, even if used to meet a matching requirement; consultants or independent contractors not on the Grant recipients payroll; or employees of subrecipients or subcontractors in covered workplaces).

Certification Regarding Drug-Free Workplace Requirements

Alternate I. (Grant recipients Other Than Individuals)

The Grant recipient 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 Grant recipients 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 Grant recipients 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 Grant recipient 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 (*That this must be physical address. No PO Boxes allowed.*)

*** Address Line 1**

Address Line 2

Address Line 3

*** City**

*** State**

*** Zip Code**

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

Alternate II. (Grant recipients Who Are Individuals)

(a) The Grant recipient 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 Grant recipients and may be contingent on unregulated vendors taking appropriate measures to alleviate the energy burdens of eligible households, including providing for agreements between suppliers and individuals eligible for benefits under this Act that seek to reduce home energy costs, minimize the risks of home energy crisis, and encourage regular payments by individuals receiving financial assistance for home energy costs;

(8) provide assurances that,

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

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

(9) provide that--

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

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

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

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

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

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

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

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

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

(16) use up to 5 percent of such funds, at its option, to provide services that encourage and enable households to reduce their home energy needs and

thereby the need for energy assistance, including needs assessments, counseling, and assistance with energy vendors, and report to the Secretary concerning the impact of such activities on the number of households served, the level of direct benefits provided to those households, and the number of households that remain unserved.

☐

By checking this box, the prospective primary participant is agreeing to the Assurances set out above.

Plan Attachments

PLAN ATTACHMENTS
The following documents must be attached to this application
• Delegation Letter is required if someone other than the Governor or Chairman Certified this Report.
• Heating component benefit matrix, if applicable
• Cooling component benefit matrix, if applicable
• Minutes, notes, or transcripts of public hearing(s).
• Policy Manual.
• Subrecipient Contract.
• Model Plan Participation Notes for Tribes.