

LOW INCOME HOME ENERGY ASSISTANCE PROGRAM (LIHEAP)

ABBREVIATED MODEL PLAN

PUBLIC LAW 97-35, AS AMENDED

FISCAL YEAR (FY) 2013-14

GRANTEE: Indiana Housing and Community Development Authority

EIN: 35-1485172

ADDRESS: 30 S. Meridian Street, Suite 1000, Indianapolis, IN 46204

**NAME OF LIHEAP COORDINATOR:
Taura Edwards, CSBG and EAP Program Manager**

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LAST DETAILED MODEL PLAN FILED: FY2012-2014

PLEASE CHECK ONE: TRIBE _____ STATE INSULAR AREA _____

**Department of Health and Human Services
Administration for Children and Families
Office of Community Services
Washington, D.C. 20447**

August 1987, revised 05/92, 02/95, 03/96, 12/98, 11/01

OMB Approval No. 0970-0075, Expiration Date: 04/30/2014

THE PAPERWORK REDUCTION ACT OF 1995 (Pub. L. 104-13)

Use of this model plan is optional. However, the information requested is required in order to receive a Low Income Home Energy Assistance Program (LIHEAP) grant in years in which a grantee is not required to use the detailed model plan. Public reporting burden for this collection of information is estimated to average 20 minutes 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.

STATE OF INDIANA

**INDIANA HOUSING and COMMUNITY DEVELOPMENT AUTHORITY
Federal Fiscal Year 2012
LOW-INCOME HOME ENERGY ASSISTANCE PROGRAM
STATE PLAN**

GRANTEE ADDRESS:

Mr. Jacob Sipe, Interim Executive Director
Indiana Housing and Community Development Authority
30 S. Meridian Street, Suite 1000
Indianapolis, Indiana 46204
Phone: (317) 234-3873

UPDATED CONTACT PERSON:

Ms. Taura Edwards, EAP and CSBG Program Manager
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30 S. Meridian Street, Suite 1000
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taedwards@ihcda.in.gov
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Assurances

The Indiana Housing and Community Development Authority agrees to:

(Grantee Name)

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

(8) provide assurances that,

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

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

(9) provide that--

(A) the State may use for planning and administering the use of funds under this title an amount not to exceed 10 percent of the funds payable to such State under this title for a fiscal year and not transferred pursuant to section 2604(f) for use under another block grant; 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. Territories with annual allotments of \$200,000 or less and Indian tribes/tribal organizations are not 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.

Certification to the Assurances: As Chief Executive Officer, I agree to comply with the sixteen assurances contained in Title XXVI of the Omnibus Budget Reconciliation Act of 1981, as amended.* By signing these assurances, I also agree to abide by the standard assurances on lobbying, debarment and suspension, and a drug-free workplace.

Signature of the Tribal or Board Chairperson or Chief Executive Officer of the State or Territory.**

Signature:  _____

Title: Interim Executive Director

Date: 8-1-12 _____

*** Indian tribes/tribal organizations, and territories with annual regular LIHEAP allotments of \$200,000 or less, are not subject to assurance 15, and thus must only certify to 15 assurances.**

**** If a person other than the Chief Executive Officer of the State or territory, or Tribal Chairperson or Board Chairperson of a tribal organization, is signing the certification to the assurances, a letter must be submitted delegating such authority. (PLEASE ATTACH DELEGATION of AUTHORITY.) The delegation must include authority to sign the assurances, not just to administer the program.**

***** HHS needs the EIN (Entity Identification Number) of the State, territory or Tribal agency that is to receive the grant funds before it can issue the grant.**

In the above assurances which are quoted from the law, "State" means the 50 States, the District of Columbia, an Indian Tribe or Tribal Organization, or a Territory; "title" of the Act refers to Title XXVI of the Omnibus Budget Reconciliation Act of 1981 (OBRA), as amended, the "Low Income Home Energy Assistance Act"; "section" means Section 2605 of OBRA; and, "subsection" refers to Section 2605(b) of OBRA.

Modified LIHEAP FY 2013 Application

Please list all changes made from your most recent detailed plan.

2605(a) Use of Funds 2605(b)(1)

→ Please 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.)

<u>Use of Funds</u>	<u>Dates of Operation</u>
<u>x</u> heating assistance	November 1 to May 15
<u>x</u> cooling assistance	June 4 to August 17
<u>x</u> crisis assistance	November 1 to May 15
<u>x</u> weatherization assistance	October 1 to September 30

Heating assistance will be extended through September 30, in lieu of summer cooling assistance, if either of the following conditions exists on May 15:

1. a significant number of agencies have not obligated their heating assistance funds and have the administrative capacity to continue conducting client eligibility for those clients awaiting heating assistance
2. a significant number of agencies have extensive waiting lists of clients who have not been served with heating assistance, and those agencies have the administrative capacity to continue conducting client eligibility for those clients awaiting heating assistance

2605(b)(5) Benefit Levels 2605(c)(1)(B)

→ Describe how you will assure that the highest benefits will go to households with the lowest incomes and the highest energy costs or needs in relation to income, taking into account family size. Please describe benefit levels or attach a copy of your payment matrix.

Categorical Requirements and Cooling Benefits

If the conditions listed in Sections 2605 (a) and (b) "Use of Funds) do not exist on May 15, Indiana will use those remaining funds to administer a summer cool program. The program will continue to serve households at or below 150 percent of poverty, based on the family size. All financially eligible households qualify to receive an electric benefit. IHEDA gives priority to clients who have received a winter benefit by automatically crediting their electric bills on record. Any additional funds are then allocated to walk-in clients. The total value of the benefit cannot exceed \$150.

Financially eligible households with at least one elderly individual, disabled individual, or with a child under 6 are eligible for:

- A room air conditioner (if medically necessary); and,
- A payment to their electric utility company not to exceed \$150.

2605(b)(6) Agency Designation

The state or tribe administers LIHEAP through the following local agencies:

- county welfare offices
- community action agencies (weatherization component only)
- community action agencies (heating, cooling or crisis)
- charitable organizations
- not applicable (i.e. state energy office)
- tribal office
- other, describe:

➔ Have you changed local administering agencies from last year? Yes No

If Yes, please describe how you selected them.

In addition to the community action network, additional service providers were added for one county. These new service providers are community based nonprofit organizations who were chosen based on their location, capacity, and experience in conducting client eligibility and intake.

➔ What components are affected by the change? N/A

In one county, there will be multiple service providers administering the client intake and eligibility process.

Please specify whether you are using calendar year 2012 poverty level or FY 2013 median income estimates in determining eligibility:

2012 poverty level 150%

OR

FY 2013 median income _____%

Please describe how you obtained public participation in the development of your 2011 plan. (For States, please also provide information on your public hearings.):

Date Carryover and Reallotment Report submitted: 8/1/12

Submit Continuation Pages as Necessary

ADDITIONAL CERTIFICATIONS AND REQUIREMENTS

Attached are additional certifications required as follows:

* **Lobbying certification**, which must be filed by all States and territories. If applicable, Form LLL, which discloses lobbying payments, must be submitted. **(Tribes and tribal organizations are EXEMPT.)**

* **Debarment and suspension certification**, which must be filed by all grantees.

* **Drug-free workplace requirement certification**, which must be filed by all grantees, unless the grantee has filed a statewide certification with the Department of Health and Human Services. **STATES ONLY:** If you have filed a statewide certification for the drug-free workplace requirement, please check here: _____

* One of the requirements included in the 1994 reauthorization of the statute is that grantees must include in their annual application for funds a report on the number and income levels of households applying for and receiving LIHEAP assistance, and on the number of recipient households that have members who are elderly, disabled, or young children.

All Tribes and those territories with allotments of less than \$200,000 need only submit data on the number of households served by each component (heating, cooling, weatherization and crisis). The approval for the collection of information contained in the **LIHEAP Household Report** is covered by OMB approval number 0970-0060.

* Though not a part of this application, the report on funds to be carried over or available for reallocation as required by section 2607(a) for the preceding year must be submitted by August 1 of each year. A grant award for the current fiscal year may not be made until the carryover/reallocation report is received. The approval for the collection of information contained in the **LIHEAP Carryover and Reallocation Report** is covered by OMB approval number 0970-0106.

APPENDIX A: CERTIFICATION REGARDING DRUG-FREE WORKPLACES

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 STATEWIDE AND STATE AGENCY-WIDE certifications, and for notification of criminal drug convictions. For the Department of Health and Human Services, the central point is: Division of Grants Management and Oversight, Office of Management and Acquisition, Department of Health and Human Services, Room 517-D, 200 Independence Avenue, SW Washington, DC 20201.

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

- Controlled Substances Act (21 U.S.C. 812) and as further defined by regulation (21 CFR 1308.11 through 1308.15);
- Conviction means a finding of guilt (including a plea of nolo contendere) or imposition of sentence, or both, by any judicial body charged with the responsibility to determine violations of the Federal or State criminal drug statutes;
- Criminal drug statute means a Federal or non-Federal criminal statute involving the manufacture, distribution, dispensing, use, or possession of any controlled substance;
- Employee means the employee of a grantee directly engaged in the performance of work under a grant, including: (i) All direct charge employees; (ii) All indirect charge employees unless their impact or involvement is insignificant to the performance of the grant; and, (iii) Temporary personnel and consultants who are directly engaged in the performance of work under the grant and who are on the grantee's payroll. This definition does not include workers not on the payroll of the grantee (e.g., volunteers, even if used to meet a matching requirement; consultants or independent contractors not on the grantee's payroll; or employees of sub-recipients or subcontractors in covered workplaces).

Alternate I. (Grantees Other Than Individuals)

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

- 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;

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;

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;

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

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;

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

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

- Place of Performance (Street address, city, county, state, zip code) Check if there are workplaces on file that are not identified here.

Alternate II. (Grantees Who Are Individuals)

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

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

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

Signature 

Date 8-1-12

Jacob Sipe
Interim Executive Director
Indiana Housing and Community Development Authority

APPENDIX B: CERTIFICATION REGARDING ENVIRONMENTAL TOBACCO SMOKE

Public Law 103227, Part C Environmental Tobacco Smoke, also known as the Pro

Children Act of 1994, requires that smoking not be permitted in any portion of any indoor routinely owned or leased or contracted for by an entity and used routinely or regularly for provision of health, day care, education, or library services to children under the age of 18, if the services are funded by Federal programs either directly or through State or local governments, by Federal grant, contract, loan, or loan guarantee. The law does not apply to children's services provided in private residences, facilities funded solely by Medicare or Medicaid funds, and portions of facilities used for inpatient drug or alcohol treatment. Failure to comply with the provisions of the law may result in the imposition of a civil monetary penalty of up to \$1000 per day and/or the imposition of an administrative compliance order on the responsible entity. By signing and submitting this application the applicant/grantee certifies that it will comply with the requirements of the Act.

The applicant/grantee further agrees that it will require the language of this certification be included in any sub-awards which contain provisions for the children's services and that all sub-grantees shall certify accordingly.

Signature 

Date 8-1-12

Jacob Sipe
Interim Executive Director
Indiana Housing and Community Development Authority

APPENDIX C: CERTIFICATION REGARDING LOBBYING

Certification for Contracts, Grants, Loans, and Cooperative Agreements

The undersigned 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 III, "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 sub-awards at all tiers (including subcontracts, sub-grants, and contracts under grants, loans, and cooperative agreements) and that all sub-recipients 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.

Signature  _____ Date 8-1-12

Jacob Sipe
Interim Executive Director
Indiana Housing and Community Development Authority

APPENDIX D: CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS

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

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

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

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;

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

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.

Signature  Date 8-1-12

Jacob Sipe
Interim Executive Director
Indiana Housing and Community Development Authority

APPENDIX E: CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY AND VOLUNTARY EXCLUSION

LOWER TIER COVERED TRANSACTIONS

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

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.

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.

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.

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.

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.

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 Non-procurement Programs.

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.

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

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.

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.

Signature 

Date 8-1-12

Jacob Sipe
Interim Executive Director
Indiana Housing and Community Development Authority

SECTION 200
EAP BENEFITS AND SERVICES

Financial eligibility for Energy Assistance benefits (heating, crisis, and summer cooling) is limited to households with a combined annual income at or below **150%** of the current Office of Management and Budget Poverty Guidelines. This is the ninth consecutive year households in Indiana may qualify for assistance with an income up to 150% of poverty.

A new benefit formula was implemented in 1998, which awarded the largest benefits to households with the highest energy costs and the lowest income levels based on family size. The formula was updated for FFY 2012 with the following changes. Thus heating benefit amounts are calculated by awarding points based on factors within five categories of a benefit matrix. These categories are: *poverty level* based on household size, *dwelling type*, *housing status*, *at-risk (family) status*, and *fuel source*. The amount of the benefit is computed at a rate determined by IHCDA based on available funding and awarded on the benefit matrix, plus a regional differential, and an additional \$50 for the secondary utility needed to keep the heating system operational. A household may be eligible for an additional crisis benefit if the crisis eligibility requirements are met. The client may receive up to \$200 for regulated utilities or up to \$400 for non-regulated utilities, like bulk fuel, oil, or wood.

All renters where heat and electric are included-in-rent will not be eligible for an energy assistance benefit.

201 HEATING ASSISTANCE BENEFIT LEVELS & HOUSEHOLD INFO

The benefit computation is completed using the **Energy Assistance Program Benefit Matrix** form (see Appendix C). The matrix sections and instructions follow:

201.1 Household Information

Name of Head of Household:	
SSN or Case No.:	County:
Household Income:	Date of Application:

- Enter household and case identification as indicated.

201.2 Poverty Level Determination

The Poverty Points are determined by comparing the household's income level and size to the Poverty Guidelines. Points range from 2-6 based on where the household falls on the following chart.

HOUSEHOLD SIZE	<50%		<100%		<150%	
	MO.	YR.	MO.	YR.	MO.	YR.
1	465.42	5,585	980.83	11,170	1,396.25	16,755
2	630.42	7,565	1,260.83	15,130	1,891.25	22,695
3	795.42	9,545	1,590.83	19,090	2,386.25	28,635
4	960.42	11,525	1,920.83	23,050	2,881.25	34,575
5	1,125.42	13,505	2,250.83	27,010	3,376.25	40,515
6	1,290.42	15,485	2,580.83	30,970	3,871.25	46,455
7	1,455.42	17,465	2,190.83	34,930	4,366.25	52,395
8	1,620.42	19,445	3,240.83	38,890	4,861.25	58,335

Add Member	165	1,980	330	3,960	495	5,940
POINTS:	6		4		2	

CATEGORY	FACTORS	POINTS POSSIBLE	POINTS AWARDED
Poverty Points	From Chart Above	2, 4, 6 points	

- Compute the household's gross annual income.
- Locate the point on the chart where the income and household size falls and circle the amount and the number of points to be awarded.
- Enter the number of points on the matrix under Poverty Points.
- Note: The OMB poverty guidelines were updated on October 1, 2012.

The OMB Poverty Guidelines normally change in January of each year. If so, the updated guidelines will become effective in the EAP program on June 1st of the next program year. This will keep the guidelines the same for the entire program year.

201.3 Dwelling

Dwelling points are awarded based on the relative cost of heating three types of dwellings.

CATEGORY	FACTORS	POINTS POSSIBLE	POINTS AWARDED
Dwelling	Mobile Home	2	
	Single, Site Built	2	
	Duplex or Greater	1	

- Award two (2) points if the household lives in a mobile home;
- Award two (2) points if the household lives in a single, site built dwelling;
- Award one (1) point for households living in a duplex or multiplex (apartments);
- Maximum points are two.

201.4 Housing Status

Housing Status points are awarded to factor in whether the household is responsible for all of its utility costs or receives assistance in meeting those costs. Clients may be classified as subsidized or non-subsidized. Subsidized housing is defined as a dwelling that is receiving financial assistance from a government funded program toward the monthly rent payment. Rental assistance may include a utility allowance toward the utility monthly bills, but the utility allowance is not required to be considered subsidized.

Rural Development-funded properties are considered subsidized if the funding source provides a monthly rental payment. Other programs that may provide monthly rental assistance are, but not limited to, HOPWA, HOME TBRA, and HOME AGAIN, which are IHCDA funded programs. Local municipalities may have their own rental assistance programs that provide a monthly payment amount. Those programs are included as well.

Section 42 funded properties are not considered subsidized. Section 42 clients are eligible for crisis assistance.

CATEGORY	FACTORS	POINTS POSSIBLE	POINTS AWARDED
Housing Status	Non-subsidized Housing	2	
	Subsidized/ Not Included	0	
	Subsidized / Included	0	

- Award two (2) points if the household pays its own heat utility costs (included or not).
- Award zero (0) points if the household pays its own heat utility cost but the rental cost is subsidized.
- Award zero (0) points if the household's heat utility cost is included in their rent and is subsidized.
- Maximum points are two.

201.5**At-Risk**

The At-Risk households for the Energy Assistance Program include the elderly (60+), the disabled, and those households with children 0 to 5 years old. (See Section 302.6)

CATEGORY	FACTORS	POINTS POSSIBLE	POINTS AWARDED
At-Risk	Elderly, disabled, and/or children 0-5 years old	3	

- Award three (3) points only if the household has a member who fits one of the At-Risk factor definitions.
- Maximum points are three.

201.6**Fuel Source**

Points are awarded for the primary Fuel Source based on the relative costs of heating with the various types of fuel.

CATEGORY	FACTORS	POINTS POSSIBLE	POINTS AWARDED
Fuel Source	Bulk Fuels (Kerosene, LP Gas, Oil, Wood, Coal)	3	
	Natural Gas	3	
	Electric	3	
	Heating Included	0	

- Award three (3) points if the household uses one of the listed bulk fuel sources.
- Award three (3) points if the household heats with natural gas.
- Award three (3) points if the household uses electric heat.
- Note; award zero (0) points if the household uses any one of the heat sources above but has heat included as a part of their rent.
- Maximum points are three.

201.7 Total Points

Total points are used to determine the amount of the EAP benefits.

Notes & Comments:	= Total Points		
	X \$20 dollar amount per point		
	+ Electric		\$50
	+ Regional Differential (\$5 Central, \$15 North)		
	+ Crisis EAP		
<i>If heat and electric are included in rent, benefit is \$0.</i>			
Intake Worker:	Date:	= TOTAL EAP BENEFIT	

201.7 Total Points, *continued*

- Add all of the points in each category for the Total Points.
- Multiply that amount by \$20 per point and enter the subtotal.
- Add the \$50 for the Electric utility, which is already on the form.
- Enter the correct Regional Differential of \$5 for the Central region or \$15 for the Northern region. (See Appendix L in back for Regional Map.)
- Enter the amount of any Crisis benefit, which the household is getting. (See Section 202 for Crisis benefit rules.)
- Add the amount of the points benefit, the electric benefit, the regional differential and the Crisis EAP to determine the **Total EAP Benefit**.
- If a household's subsidized or non-subsidized rent payment includes the cost of both the heat and electric utility adjust the household's EAP benefit to \$0.

201.8 Subsidized Households/Utilities Included

If a household's subsidized rent payment includes the cost of the heat and electric utility, the household's EAP benefit is \$0. If the heat and/or electric are paid separate, by the client, that benefit should go directly to the utility. **No crisis dollars should be awarded.**

201.9 Non-Subsidized Households/Utilities Included

If a household's rent payment includes the cost of the heat and electric utility, the household's EAP benefit is \$0. If the heat and/or electric are paid separate, by the client, that benefit should go directly to the utility. Crisis dollars may be awarded.

201.10 Completion of the Benefit Matrix Form

Instructions: Complete the form by signing and dating it. Complete the Comments and Notes section as necessary.

202 CRISIS ASSISTANCE BENEFITS

The LIHEAP statute requires that states reserve a reasonable amount of funds each fiscal year for crisis intervention. In Indiana, these funds make up the Crisis Assistance line item in each CAA's budget. (See Section 1200). Funds budgeted for crisis should be used at the time of application in an energy emergency.

202.1 Crisis

A crisis means an *energy emergency* where:

- a household is in imminent danger of disconnection,
- already shut-off, is low on heating fuel, or
- is totally out of heating fuel.

A household that is in imminent danger has received a notice for disconnection from a utility vendor, but has not yet been disconnected.

202.2 Crisis Intervention

The LIHEAP statute requires a *timely and effective energy crisis intervention program* for households in crisis. The Indiana program includes additional benefits and services. Though clients receive moratorium protection between December 1 and March 15, agencies must extend crisis benefits consistently during the entire heating season, including the moratorium period.

Timely Intervention - If the eligible household is experiencing an energy emergency the local CAA and/or its subcontractor must provide intervention that will resolve the crisis **within 48 hours from the time of application**. Assistance must be provided **within 18 hours of the time of the application**, if a life-threatening situation exists. This response must be designed to protect the health and safety of the household members. For the agency's part, the extension of Crisis benefits and other services constitutes a proper response to the emergency. Appointments are scheduled when the first available time slot becomes available, which means some appointments may be scheduled after the crisis timeframe.

Because agencies take applications on an appointment basis, the "time of scheduled appointment" may be later than when the household in crisis contacts the agency. Agency procedures must be in place to address a crisis within the time frames noted above and from the date of the determination by the agency that the household is in crisis. This can be simply accomplished by maintaining open appointment slots each day to address crisis applications.

Intervention Strategies - Appropriate intervention on the agencies part includes, but is not limited to:

- *Crisis Assistance*. For households whose regular heating benefit cannot assure service (regulated) or guarantee delivery (bulk fuel), the agency must use Crisis Assistance funds to alleviate the situation. Crisis Assistance must guarantee continuation of service or not be offered.

- *Case Work Activities.* If the authorized heating and crisis benefits cannot resolve the emergency, the agency must provide services to the household to secure additional funds. These services include referrals to other sources of utility assistance, intervention on behalf of the family with utility vendors, providing budget counseling with an emphasis on maintaining rent and utilities.
- *Case Management.* Crisis clients should be referred to the EAP Energy Education component. For more extensive intervention with the family, the CAA should have procedures for referrals to the agency’s case management component, i.e. Family Development Consultants, or Family Self-Sufficiency caseworkers.

202.3 Crisis Assistance Benefits for Regulated Utilities

In addition to the regular benefit, the agency may extend up to **\$200** in Crisis Energy Assistance to a household with a regulated utility energy emergency as defined above.

The crisis benefit will be based on the family’s circumstance at the time of application. The amount of the benefit will be based on the actual amount needed to restore service or prevent disconnection, up to \$200. This applies at any time that the household initially applies; before, during, or after the moratorium period.

To calculate the crisis benefit, the agency will take disconnection amount listed on the bill and subtract the amount of the EAP regular benefit. The crisis benefit amount will be the difference, up to \$200 for regulated utilities.

The crisis assistance may be split between the two utilities, as long as the total amount does not exceed \$200 for both utilities.

Families receiving less than the \$200 maximum are not entitled to any additional amount later in the program. This applies even if the household was not originally in an emergency and did not receive any Crisis benefits at the time of the initial application.

Some bulk fuel clients have “metered propane tanks”. The metered propane tank is a computerized bulk fuel tank that is controlled by a centralized computer system. Clients have an automated delivery schedule based on the amount of fuel in the tank, time since the last delivery, and outside temperature. The client receives a monthly bill that is based on the amount of fuel used within a 30- day window, like a regulated utility. Clients who fall behind on their monthly bill will receive a notice of disconnection with a disconnection amount, like a regulated utility. If the disconnection amount is not paid, the tank will be turned off from the centralized computer. The client does not switch to a “cash for delivery” contract. The bill must be paid before the tank is turned back on. Clients with these types of

tanks are considered a “regulated utility” and are eligible for up to \$200 crisis assistance. Crisis assistance will be allocated, based on the amount of the bill at the time of application. According to the Indiana Code, these clients are not eligible for moratorium protection.

202.4

Crisis Assistance Benefits for Unregulated Utilities

In addition to the regular benefit, the agency may extend up to **\$400** in Crisis Energy Assistance to a household with an unregulated utility energy emergency, as defined above.

Households that use bulk fuel vendors are not covered by moratorium protection and may be in an energy crisis at any time throughout the winter. Crisis-heating assistance for bulk fuel households may be extended up to the maximum (\$400), anytime from the beginning of the current year’s program until March 15th. This includes offering the maximum crisis at time of application to ensure a minimum delivery or prevent the client from coming back for the crisis benefit after the regular benefit is extended. However, clients can receive a regular benefit at the time of application and come back at a later date for the crisis assistance, if necessary and as long as the agency has funds available to offer crisis assistance.

New applicants, after March 15th, may receive regular and crisis assistance if necessary as long as the agency has the funds available.

The crisis assistance may be split between the two utilities, as long as the total amount does not exceed \$400 for both utilities.

Bulk fuel clients who have a budget payment plan are ineligible for crisis. The budget payment plan contract is designed to assist clients with controlling their energy burden. The payment plan ensures that clients receive bulk fuel deliveries on an automated schedule, as opposed to calling when the tank is low.

If a client falls behind on payments to the plan, the payment plan is dissolved and the client is placed on a “cash before delivery” basis. The client will receive a notice stating that the bill is past due and will not receive an automatic tank refill. At this point, the client must submit documentation for crisis up to \$400. Budget payment plan clients are not eligible to come back at a later date for crisis assistance because they have breached the budget plan agreement after the application was completed.

202.5 Outreach

EAP Program Support funds (See Section 1200) may be used for traditional outreach activities designed to increase awareness of and participation in the program, activities such as:

- Staff activities in the delivery of general information about EAP, as well as other energy-related programs;
- cost of materials such as EAP program pamphlets, energy education information;
- postage for mail-in applications;
- maintenance of seasonal outreach sites;
- overhead costs associated with these activities.

A goal of the program is to increase the participation of at-risk families, by providing outreach that should be directed toward the elderly, disabled, and households with young children.

202.6 EAP Social Services

EAP funding may be used for a range of social services, everything from short-term crisis intervention to long-term services under the Family Development Plan.

Agencies are encouraged to examine the way in which households are evaluated at intake for further services beyond the provision of the utility assistance benefit and to have in place referral procedures to other areas of the agency, or to other agencies in the community, for delivery of those services.

Assurance 16 (outreach and social services) funds may be used in longer-term activities with Energy Assistance families as established in the CAA Family Development Plan, including case management in the areas of:

	Adult Education
Energy	Health
Employment	Child Development and Education
Housing	Nutrition
Transportation	Family Relations/ Domestic Violence
Income Maintenance	Alcohol and Drug Abuse
Support Systems	

Many CAAs have been working to strengthen their case management function. Through training and cost allocation, agencies have enhanced their ability to provide social services to EAP households. Through Family Development Consultant certification, agencies can develop staff equipped to respond to families in need of case management.

By combining funds such as CSBG, higher reimbursement rates from Section 8 Family Self-Sufficiency, Weatherization client education funding, and other sources; agencies have an opportunity through cost allocation to fund social service positions to work with EAP households on an intensive basis.

An agency that will provide services using the Family Development process, may budget up to 2% of the agency's contract for such activities.

(See Section 1200 for additional requirements for the use of "Program Support" and "Family Development" funds.)

202.7 Weatherization Assistance Program

Also, households with income up to 200% of poverty should be completed and the applicant told that their household may still be able to receive weatherization services.

203 EAP BENEFIT PAYMENTS

EAP benefit payments are made to the utility vendors on behalf of the eligible household for current utility accounts or past due utility accounts. (Transactions involving home energy payments are no longer exempt from the state gross retail sales tax. The LIHEAP sales exemption rule lasted from July 1, 2006 to June 30, 2009).

Vendors include:

- **Regulated Heating and Electric Utilities** who provide electricity and/or natural gas.
- **Bulk Fuel, LP, and other non-regulated vendors** who provide Fuel Oil, LP Gas, Coal, Wood, or Kerosene. The delivery fee for LP gas, wood, coal, kerosene, or fuel oil should be part of the benefit.

203.1 Application of the Regular EAP Benefit

Once the total benefit amount has been calculated using the Matrix, benefits will be allocated as follows:

- \$50 will be given toward the electric benefit

- The remaining portion of the benefit will be given to the primary heating source

If the primary heating source is total electric, then the entire benefit will be given to the electric utility.

If there is an additional amount owed by the household, on the heating and/or electric source, a crisis benefit may be used to pay it. To be eligible for the crisis benefit, the household must have lost service, or be in danger of losing service by providing a utility bill with a “**disconnect**” amount showing. The allowable crisis benefit is the actual amount needed to maintain or restore service, up to the maximum crisis benefit of \$200 for regulated fuel, \$400 for bulk fuel. The agency must show in the client file how the crisis award was determined.

As with regular benefits, crisis benefits may be used to pay on both the primary and secondary utility. The crisis benefit may be applied to the heat or the electric utility bill, or split among the two as the agency deems appropriate with a total maximum of \$200 offered for regulated customers, \$400 for bulk customers.

A household application may be approved only one time during the heating season.

A household must apply at the Community Action office of their primary residence or at another site authorized by the CAA.

The purpose of EAP funds is to ensure that the clients have utility service during the winter months. The agency will ensure that the benefit amount, with crisis, is enough to prevent disconnection and maintain regular service. If the benefit amount including crisis is not enough to prevent a disconnection, the client will be asked to make a payment to the utility vendor for any past due amounts or deposits before the pledge is made. The agency reserves the right to refuse a benefit if the pledge amount is not enough to maintain active service and the client lacks the funds to pay the remaining balance or subsequent deposits.

203.2 Application of Regular Benefits on a Credit Balance

If an applicant household has a credit balance in excess of \$500.00 on one of the **regulated utilities only** at the time of the application, they will not be considered eligible for assistance to that bill until the credit balance is under \$500.00. The client is eligible for the benefit that meets other program requirements. Once the credit balance is under \$500, then the client can come back and request the benefit.

If the client's credit exceeds the \$500 limit for a regulated utility, then the client may request to waive the benefit and add the funds to the other benefit. The waiver must be approved by the agency's Program Manager and a waiver form must be completed. A copy of the waiver must be located in the client's file. Upon approval, it must be explained to the client that he/she will be ineligible for a benefit when the credit balance falls below \$500.

If the client has a credit balance on the **unregulated utilities**, the client is eligible for both the heating and electric benefits, regardless of the credit balance.

203.3 Application of Regular Benefits on an Inoperable Heating Source

If the heating source for which the home is designed is not operable either due to disconnection or mechanical failure, the regular benefit should not be provided to the applicant if they are heating with electric space heaters or other unsafe alternatives. The client is eligible for the electric credit only.

In these instances, the client may not waive the heating benefit in order to receive a larger electric benefit. If the heating source is later deemed operable, during the program year, the client may return for the regular benefit for which they qualified.

203.4 Electric Utility Payments

Even though a household may not depend on electricity as a source of heat, it is generally required to operate the heating appliance. Thus, to maintain heat it is important that the electric utility also be kept on. The benefit matrix adds \$50 for the electricity.

In the instance that a household does not have electric service, the household is not eligible for the additional electric benefit.

It is the intent of the program that \$50 be the amount allocated from the regular benefit to the electric utility. The agency may not apply more regular benefit dollars to the electric utility and less to the heat.

However, up to the maximum of \$200 for regulated utilities (or \$400 for a bulk fuel heated household) in crisis benefits may be applied to the electric utility if it is not the primary heat

source and the crisis amount is warranted. Again, the agency must show in the client file how the crisis award was determined.

203.5 Heating with Wood

For eligible households using wood as their primary heating source, agencies should ensure that households receiving wood meet the following criteria.

- Wood: all wood vended for EAP must be of a good density, such as cherry, hickory, oak, beech, birch, and ash. Types of wood not recommended are maple, elm, gum, sassafras, tulip, aspen, white pine, or poplar. In addition to these woods, IHEDA recommends that no green wood in more than 1/3 to 2/3 seasoned ratios be accepted for delivery to a household.
- Rick: a measurement which is 4' x 8' by 16" - 20" deep.
- Seasoned Wood: at least one year old and dry.

Wood costs are not covered when it is a supplemental heat source.

Clients who heat with wood must be issued a "wood certificate" or voucher by the agency. This would allow the client to select a vendor of their choice. The client and vendor would then complete the "wood certificate" upon product delivery, and the vendor would return the voucher to the agency for payment.

Applicants who cut their own wood are **not eligible** for heating assistance benefits

204 EAP BENEFIT - UNALLOWABLE PAYMENTS

Energy Assistance payments may not be made for the following utility-related expenses:

- utility reconnection fees or deposit fees;
- past-due bulk fuel bills (unless payment of the past due bill prevents an immediate crisis delivery to the household);
- water or sewage bill;
- direct rent payments;
- tampering charges;
- outdoor security lights;
- appliance service programs charged to the utility bills; or
- appliance payments.

204.1 Limits on Arrears Payments

The energy assistance benefit may not be applied to that portion of a household's utility bill, which is in arrears over one year from October 1st of the current program year.

The CAA EAP program manager may waive this rule. The reason for the waiver is to be documented in the case file.

205 DOCUMENTATION OF UTILITY PAYMENTS

Households applying for the Energy Assistance Program must show a utility bill as a part of documenting their need. This should become part of the applicant's file. The utility must be listed in the name of a household resident over age 18 years or older. There are three exceptions to this rule: (1) the utilities are listed in the name of a legal power of attorney; (2) lease or landlord affidavit states that the utilities must be listed in the landlord's name; or (3) the client is mentally or physically disabled and the utilities are handled by a company or service that pays for all of the client's needs.

If the utility is listed in the name of a power of attorney, then the client must submit a copy of the legal documentation designating the power of attorney. The copy should be retained in the client's file. To be considered a valid power of attorney in the state of Indiana, the paperwork should contain the following information:

- (1) Be in writing.
- (2) Name an attorney in fact.
- (3) Give the attorney in fact the power to act on behalf of the principal.

- (4) Be signed by the principal or at the principal's direction in the presence of a notary public.

- (5) In the case of a power of attorney signed at the direction of the principal, the notary must state that the individual who signed the power of attorney on behalf of the principal did so at the principal's direction.

If a household claims that the utility payment is included in the rent, a lease agreement or contract with the landlord stating the landlord's name, address, telephone number, and who is responsible for utilities, is required. If a lease or contract is not available, a Landlord Affidavit must be completed. (See Appendix D for a sample of a **Landlord Affidavit**.) The lease agreement, contract copy, or Landlord Affidavit, must be attached to the application

form and retained in the client's file. Intake staff must verify that this information has been submitted and is included in the client's file.

All rental applicants must provide a lease agreement or Landlord Affidavit. A collateral contact by phone to the landlord or management company for verification will be allowable if the household is in a crisis situation.

All utilities should be listed in the name of a household resident. If one utility (either electric or primary heating source) is not listed in the name of a household resident, landlord, or power of attorney, then the client will be ineligible for that utility benefit until the name is switched to a household resident. That benefit cannot be waived. This utility is not eligible for moratorium protection because it does not meet program requirements for approval. The client is eligible for the utility benefit that meets the program requirements and is covered by moratorium protection.

206 RENTERS

206.1 Equitable Treatment of Renters

The 1995 Federal LIHEAP reauthorization, and program amendments governing the Energy Assistance Program, clearly states that renters and homeowners must be treated equitably in the determination of energy assistance needs and eligibility.

Households who rent are eligible for the Energy Assistance Program, if they are income eligible and are:

- responsible for payment of heat and/or electric utilities separate from their rent; or

However, if a household's rent payment includes the cost of the heat and electric, the household does not have an energy burden and will not receive an EAP benefit this year.

206.2 Direct Benefit Payments

EAP no longer makes direct utility payments to individual households.

In the case of a household, where the heat is included in rent and electric is paid separately, no check will be sent to the client for heat but a \$50 payment is to be made by transmittal to the electric utility.

Conversely, if the electric cost is included in the rent and the heat is paid separately, a direct check will not be sent to the client for electric, but a payment determined by the matrix is to be made by transmittal to the heating vendor.

207 BENEFIT REFUNDS and OVERPAYMENTS

A refund occurs because a benefit was paid, but the account closed and left a credit. This money is due back to the client.

If a household moves out of the service area of the current utility company, leaving a credit on the utility bill, which was paid by the Energy Assistance Program, the remaining amount is to be refunded by the utility company to the household. Funds may return to the utility vendors because the client did not provide a forwarding address. The remaining benefit must be returned to IHCDA. If the client does not contact IHCDA for the credit, the refund will be held for three years at IHCDA. After three years, the refund will be sent to Indiana Unclaimed Property.

If the client contacts IHCDA for the credit, the client must provide new utility information. The credit will be sent to the new utility vendor. If the client states that he/she no longer has utilities, then the credit will be sent to the client. The client must complete and notarize the refund request form (located in Appendix V). Refunds can take up to two weeks for processing, upon receipt of the completed form.

In case of the death of a recipient, the remaining utility credit becomes a part of the deceased's estate. The client's estate must complete and notarize a refund request form (located in Appendix V). Refunds can take up to two weeks for processing, upon receipt of the completed form.

After application, if a household moves out of the services area of their utility company, or otherwise leaves an open account with a balance due, then the EAP benefit may be applied to the balance before any credit is returned to the CAA.

It is not the intent of the program to pay on a closed or disconnected account.

An overpayment occurs when it is found that a client was overpaid. There are funds that need to be returned to the program. The funds are removed from the client's account and

returned to IHCDA from the utility vendor. The money is not due to the client, nor does it get added back into the agency's budget. Instead, the funds are used to fund other program activities. To collect these funds, agencies will submit an overpayment remittance in RIAA (formerly negative transmittal) as notification for payment. The utility vendor will send the payment along with the remittance to IHCDA. (See Section 600 of the manual about Overpayments)

APPENDIX G: ENERGY ASSISTANCE PROGRAM

MEMORANDUM OF UNDERSTANDING

This Memorandum of Understanding ("MOU") entered into by and between the **Indiana Housing and Community Development Authority ("IHCD")** and _____ ("**Vendor**") is effective as of October 1, 2011.

Recitals

WHEREAS, IHCD administers the Energy Assistance and Leveraging Incentive Programs ("EAP") pursuant to the federal Low-Income Home Energy Assistance Act, 42 U.S.C. § 8621 et seq.; 45 C.F.R. § 96.80, and the Leveraging Incentive Program contained in the Low-Income Home Energy Assistance Act, 42 U.S.C. § 8626a;

WHEREAS, Vendor provides heat and/ or utility service(s) (the "Services") to residents of the State of Indiana served by _____ ("CAA");

WHEREAS, Vendor desires to provide the Services in connection with EAP; and

WHEREAS, Vendor and IHCD desire to set forth their mutual understandings related to Vendor providing Services for individuals participating in EAP.

NOW, THEREFORE, in consideration of the mutual covenants and conditions contained herein, the sufficiency of which is hereby acknowledge, the parties hereby agree as follows:

Agreement

1. **Term.** This MOU shall automatically renew for periods of one (1) year unless either party provides written notice of termination to the other, in which case, the MOU shall terminate on the next anniversary date of the contract. Notwithstanding the foregoing, when the Executive Director of IHCD makes a written determination that funds are not appropriated or otherwise available to support continuation of performance of this MOU, this MOU shall immediately terminate. A determination by the Executive Director that funds are not available shall be final and conclusive.
2. **Local Administrators.** Vendor acknowledges that IHCD contracts with CAA to administer EAP, and that the CAA will notify Vendor of client EAP eligibility and provide Vendor with the documents necessary to submit claims for payment under EAP. Vendor shall follow the processes set forth by the CAA, and shall submit all such required documents to the CAA.
3. **Acceptance of Payment; Rollover of Benefit.** All payments shall be made in arrears in conformance with State fiscal policies and procedures and, as required by IC 4-13-2-14.8, by electronic funds transfer to the financial institution designated

by the Vendor in writing unless a specific waiver has been obtained from the IHCDCA Controller. Within 30 days of receipt of Vendor's invoice from the CAA, IHCDCA shall submit to Vendor a single aggregate ACH payment for all individuals in EAP listed on the Vendor invoice. IHCDCA will notify Vendors via e-mail upon sending of an ACH payment to Vendor. If a monthly payment to Vendor exceeds the amount of money owed Vendor for such individual for such month, Vendor shall apply the overpayment to the individual's account for the following month, as a credit; provided, however, that if the individual does not receive Services in the following month, Vendor shall issue IHCDCA a check for the amount of overpayment.

4. **Non-Discrimination.** Vendor shall provide Services under EAP in compliance with Title VI of the Civil Rights Act of 1964, and not discriminate based on the basis of race, color, sex, national origin, or physical or mental handicap.
5. **Moratorium.** Vendor acknowledges that participation in EAP requires that Vendor agree not to disconnect the heat sources of persons who have applied for EAP between December 1st and March 15th of every calendar year.
6. **Choice of Law.** The terms and provisions of this MOU shall be governed by and interpreted under the laws of the State of Indiana and any and all disputes hereunder shall be litigated in courts located in Marion County in the State of Indiana.
7. **Amendment.** The terms and provisions of this MOU may be modified only through written agreement executed by the parties hereto.

In Witness Whereof, Vendor and IHCDCA, by their duly authorized representatives, have executed this MOU.

"IHCDCA"

Jacob Sipe, Interim Executive Director

Date

Address for the provision of notice:

IHCDCA
ATTN: EAP
30 S. Meridian Street
Indianapolis, IN 46204

"VENDOR"

Vendor Name

Date

Address for the provision of notice:

E-mail (REQUIRED FOR ACH NOTICE): _____

Phone: _____

ACH Information (REQUIRED):

Bank account no: _____

Routing no: _____

Checking or Savings: _____