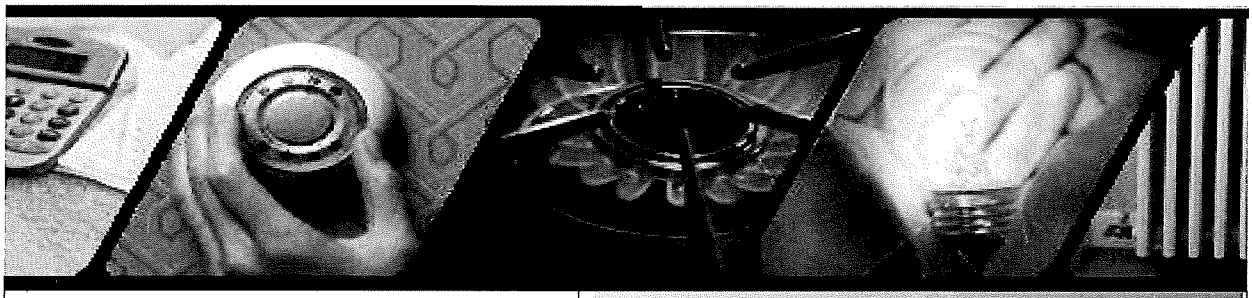
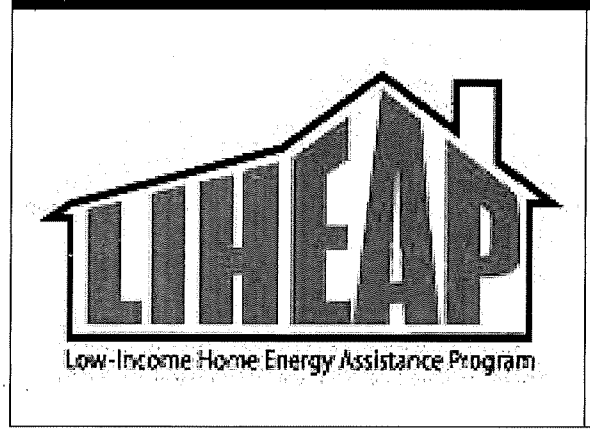
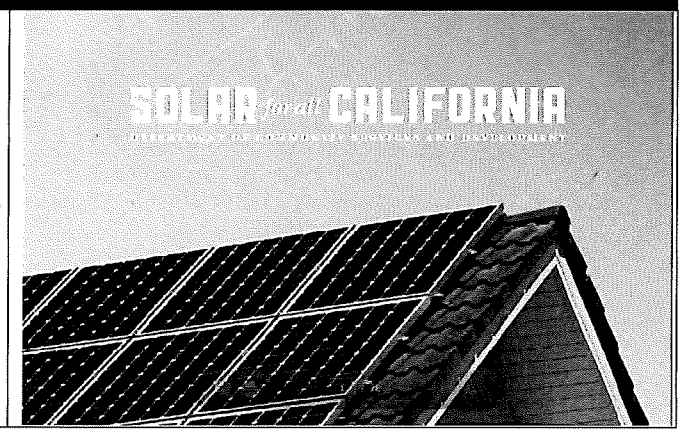
CALIFORNIA
LOW INCOME HOME ENERGY ASSISTANCE PROGRAM
DRAFT STATE PLAN







LOW INCOME HOME ENERGY ASSISTANCE PROGRAM
Federal Fiscal Year 2018

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State of California
Health and Human Services Agency

Department of Community Services and Development
U.S. Department of Health and Human Services
Administration for Children and Families
Office of Community Services

2018 DRAFT State Plan Meeting Feedback

Tuesday, May 16, 2017

Speaker	Comments Summary - Full transcript of the meeting is available on the CSD Public Website.	CSD Responses
Val Martinez	Section 5. It notes that there's an average reimbursement for the weatherization at 7,105. I say average, and I'm assuming that's what you mean; is that correct? Or is that a maximum? My suggestion to you, my recommendation, is that you make that a maximum average because of the fact that, under LIHEAP, you can also do energy audits. And in certain cases of the energy audit, you may exceed that 7,000, or you may hit that 7,000. So...	Reference to questions: 5.9 Do you have a max LIHEAP WX benefit/expenditure per HH? Yes 5.10 State Plan question is if there is a Maximum, what is it? $7,105 CSD's intention is the "maximum" listed is a maximum average. This language cannot be changed since it's a question in the state plan.
Val Martinez	Page 10, it talks about how years past, you allowed people to receive services if they lived in subsidized housing. But this year, you are saying, no, you will not allow them unless they pay the utility bill directly. I would highly recommend that you check "yes" and that you allow for local agencies to make that determination based upon the needs in their community. Occasionally, I will serve people who are in subsidized housing, because the majority of them are SSI recipients, living on $890 a month, which most of their money goes to pay for their rent and their food, and they have very little left over for any of their personal needs. And so if I have money that's available, and I can do it, sometimes I will go ahead and serve that population. But it's something that I would recommend that you make optional, for local agencies to determine whether or not they can do that. I would just ask that we be allowed to go ahead, at local discretion, to, based upon the needs presented at the facility, that we would be allowed to go ahead and serve those clients.	Reference to question: Do you have additional/differing eligibility policies for: Renters living in subsidized housing? This question is addressed in sections; 2.3, 3.3 and 4.7. The reasoning behind changing this answer to yes is CSD requires applicants to have an out-of-pocket expense. RECOMMEND CHANGING BACK TO "NO" AS IT HAS BEEN IN THE PAST.
Val Martinez	On the leveraging incentive, now -- I didn't recognize it as the old leveraging program, but what I did think about, when I was looking at that, was -- and you mentioned DOE. Now, DOE also allows for a leveraging program in which you can request, within the State Plan, a certain amount of money to be set aside to go after additional dollars. In this case, we might be talking about leveraging ECIP dollars, where we might spend money, set aside money, within the block grant. And I recommend just, for the sake of conversation, a half a million be set aside, off the top, to go after finding other resources. Earlier today I was at a hearing at CDC, and they were talking about other resources that may be available from various sources within the state; that if we have a concentrated effort to go after those dollars, we could use this leveraging fund to seek out and bring in more dollars into the LIHEAP program as leveraged funds. And to just kind of turn a little twist on the traditional program, I would recommend that you consider adding that to the State Plan.	Reference to Section 14: Leveraging Incentive Program CSD will take comments into consideration for future program years.
Celia Andrade	The category called Eligibility or Assurance 1.4, it states that young families with category called recipients are not necessarily eligible for assistance. And I know this, that, you know, we get all the income qualifications or documentation from all household members. But one of the things that we have found is that for low income and especially for disadvantaged committees, a lot of them derive their income from underground, you know, services. And so it's becoming extremely difficult for us to document household income.	Reference to question: 1.4 Do you consider households categorically eligible if one household member receives one of the following categories of benefits in the left column below? CSD is not considering Categorical Eligibility at this time.
Celia Andrade	And the other thing that I wanted to point out, when I saw it in the documentation that was provided, together with the plan, is that under management memo, November 6, 2018, under existing safeguard requirements, number 9, you stated in that -- the memo stated that safeguards should explore alternatives to the use of Social Security numbers, due to privacy issues, as a personal identifier to state program recipients.	Submission of an SSN is a requirement of eligibility. If an applicant refuses to provide their SSN, the Local Service Provider can request on behalf of the applicant a unique identifier.

Gilda Arreguin	For the utility allowance, I agree with you though, we do have an increase in clients that do receive subsidized housing. And we do have an increase of clients that have the utility allowance. And the majority of our clients, the utility allowances is the majority of their water, garbage. But my concern is, is there a possibility, just a recommendation, for a 2018 on the CSD provider website? Because I even looked it up yesterday. I couldn't find it, or maybe I'm not clicking right. Maybe CSD Utility Allowance Form, on the CSD provider website, if it's possible. It would be easy for us to click. So I was wondering if we could develop our own, or something, that could be compliant	CSD does not provide a utility allowance form. Utility allowance forms or schedules can come from the U.S. Department of Housing and Urban Development, local housing authority or landlord.
Mark Smith	Going back to the 9.2 section to the letter, to the benefit of the client, could that be e-mail as well, a postcard? Or does it have to be through the United States Postal Service?	Reference to question: 9.2 How do you notify the client of the amount of assistance paid? The notification letter to the client can be through mail, postcard or e-mail.
Mark Smith	And then 5.11 for the roof repairs, energy-related. So is that when we are doing the work, our subcontractors are penetrating through the roofs and stuff, that we repair that -- what we're installing? Or is it actually coming in where they already need a repair and they are signing up for our program to get that fixed?	CSD decided to include that as an eligible limited home repair. There's a category to allow, if there's a need within that specific dollar amount to do roof repairs in support of the weatherization work. So we're going to be modifying the limited home repair to include that. It's not going to be a separate measure. It's just going to be an allowable cost.
Buddy Ray	I am seeking some clarification on the funding period. Jay said earlier that the September 30th to -- I'm sorry, October 1st to September 30th, but then three months after that. So is the funding period for 12 months or 15 months?	Reference to Section: 1.1 Check which components you will operate under the LIHEAP program. Dates of operation U.S. Department of Health and Human Services requires CSD to list the dates of operation to match the Federal Fiscal Year. However, CSD added a note to section 1.1 to clarify funds will be available for 15 months.
Lynda Timbers	So most of what I had questions on, I just want to reiterate for the record. Having to do with the renters in subsidized housing. I think there's some confusion around the utility allowance, and I'm very familiar with that HUD form that you are talking about. That form is usually provided to the landlords annually by the local housing authority. The housing authority takes the local utility costs for one-, two-, three-, four-, five-bedroom unit, and gas and electric appliances, and so on, and they come up with this calculation and what the utility allowance is. That is then added to the amount of rent that a property is allowed to charge. So try to do simple math. A thousand dollars is somebody's income. HUD says 33 percent, or one-third, of your income can be spent on rent and utilities, your housing costs. So $333. Okay? So in that $333 is the rent and the utilities. It's not an allowance that's deducted. It's an allowance that's added, because the utilities are master-metered and paid in one bill by the landlord. So there's no tracking on an individual client basis or tenant basis. So I feel like we're jeopardizing the ability of a subsidized person to receive service just because of some formula that's applied by the housing authority, and then transferred to the landlord. So I just want to make sure that we're not negatively impacting these tenants because we're using a terminology "utility allowance," and thinking that it's an allowance above and beyond, and it's really not. It's included -- it's added to their rent. So if the housing authority says that a one-bedroom unit gas and electric costs are $30, then that $30 is added to the 333 that I just mentioned earlier, and then that tenant will pay 363 a month. So they are paying their utilities with their rent. Now, your dilemma -- our dilemma -- is figuring out how that compares to the actual payment. There's almost no way of knowing that. You know, I get a bill. I've got 80 units. My bill is for my common areas, for my parking lot lighting, for all of my individual apartments, my office. You know, I mean, it's all of it. So now, the easiest way to do it is take my 80 units and divide it into that total cost for the month, and that's how much my individual tenants' rent and utility would be. But you are asking a landlord to do something that that's way above and beyond. They are not going to be willing to provide us that kind of info. So I think it's something we should study, maybe within a working group or something, and kind of talk about it a little more, so we're making sure we're not hurting anybody.	Reference to question: 2.3, 3.3 and 4.7 Do you have additional/differing eligibility policies for: Renters living in subsidized housing? CSD's current policy is the requirement of applicants to have an out-of-pocket expense to be eligible for services. RECOMMEND CHANGING BACK TO "NO" AS IT HAS BEEN IN THE PAST.

Lynda Timbers	Okay. What's the thing on storm windows? I saw that on the same section on roof repairs and storm windows. Are we doing something different with storm windows? Okay. Because storm windows in Placer County and Nevada County are critical. They are working with very bad windows and not being able to replace them. And storm windows up in Tahoe is a really good measure.	Correction - CSD will be removing Shutters from the measure list. Storm Windows will remain.
Lynda Timbers	Weatherization. Why don't we check the box for shelters?	CSD will take this comment into consideration for future program years
Lynda Timbers	Form 416 - Okay. So that form, I want to clarify on. Is that something we have to do annually? And if so, why? I think it's a lot of work. And if we are getting the sign-off of the propane vendor or the firewood vendor or whoever, that they are not going to, you know, disclose confidential information, etc., etc., then a one-time deal should be sufficient. Having to go run around -- I got 30 propane vendors. It's crazy. You know, some of them have corporate offices somewhere else and doing the work is -- is, I think, just a big waste of time. Form 415 - I don't understand this. I mean, is this something that we're supposed to be getting? It says nonregulated utility companies only. It's a payment request and confirmation form that we fill out, and we actually have to list the names and addresses, account numbers, and payment amounts for any payments that we're going to make on behalf of clients.	Reference to question: 17.9 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. The CSD 416 form should be collected annually and as new vendors are added. It does not need to be by contract. For CSD auditing purposes, the form just needs to be completed annually. Agencies will need to establish an internal policy of when they collect the forms, and ensure they can verify the policy is followed. To make sure WPO is tracked. If paying directly, tracking the vendor payment to really have assurances that the vendor actually delivers the payment, or the wood, propane... to the customer.

DETAILED MODEL PLAN (LIHEAP)

Program Name: Low Income Home Energy Assistance
Grantee Name: CALIFORNIA
Report Name: DETAILED MODEL PLAN (LIHEAP)
Report Period: 10/01/2017 to 09/30/2018
Report Status: Saved

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Mandatory Grant Application SF-424

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

August 1987, revised 05/92,02/95,03/96,12/98,11/01
OMB Clearance No.: 0970-0075
Expiration Date: 06/30/2017

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

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

7. APPLICANT INFORMATION

*** a. Legal Name:** State of California

*** b. Employer/Taxpayer Identification Number (EIN/TIN):** 68-0283471	*** c. Organizational DUNS:** 929578268

*** d. Address:**

*** Street 1:**	2389 GATEWAY OAKS DR., STE. 100	**Street 2:**	
*** City:**	SACRAMENTO	**County:**	
*** State:**	CA	**Province:**	
*** Country:**	United States	*** Zip / Postal Code:**	95833 -

e. Organizational Unit:

Department Name: Department of Community Services and Development	**Division Name:** Energy and Environmental Services

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

Prefix:	*** First Name:** Kathy	**Middle Name:**	*** Last Name:** Andry
Suffix:	**Title:** LIHEAP Director	**Organizational Affiliation:** N/A	
*** Telephone Number:** 916-576-7154	**Fax Number** 916-263-1406	*** Email:** kathy.andry@csd.ca.gov	

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

b. Additional Description:

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

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

11. Descriptive Title of Applicant's Project
LIHEAP provides assistance to eligible low-income households to manage and meet their immediate home heating and/or cooling needs.

12. Areas Affected by Funding:
State of California

13. CONGRESSIONAL DISTRICTS OF:

*** a. Applicant** 5	**b. Program/Project:** CA

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

14. FUNDING PERIOD:		15. ESTIMATED FUNDING:	
a. Start Date: 10/01/2017	b. End Date: 09/30/2018	* a. Federal ($): $0	b. Match ($): $0

*** 16. IS SUBMISSION SUBJECT TO REVIEW BY STATE UNDER EXECUTIVE ORDER 12372 PROCESS?**

a. This submission was made available to the State under the Executive Order 12372

Process for Review on :

b. Program is subject to E.O. 12372 but has not been selected by State for review.

c. Program is not covered by E.O. 12372.

*** 17. Is The Applicant Delinquent On Any Federal Debt?**

○ YES

◉ NO

Explanation:

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

****I Agree** ☑

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

18a. Typed or Printed Name and Title of Authorized Certifying Official	18c. Telephone (area code, number and extension)
	18d. Email Address
18b. Signature of Authorized Certifying Official	18e. Date Report Submitted (Month, Day, Year)

Attach supporting documents as specified in agency instructions.

Section 1 - Program Components

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

August 1987, revised 05/92,02/95,03/96,12/98,11/01
OMB Clearance No.: 0970-0075
Expiration Date: 06/30/2017

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

Department of Health and Human Services
Administration for Children and Families
Office of Community Services
Washington, DC 20447

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

THE PAPERWORK REDUCTION ACT OF 1995 (Pub. L. 104-13)Use of this model plan is optional. However, the information requested is required in order to receive a Low Income Home Energy Assistance Program (LIHEAP) grant in years in which the grantee is not permitted to file an abbreviated plan. Public reporting burden for this collection of information is estimated to average 1 hour per response, including the time for reviewing instructions, gathering and maintaining the data needed, and reviewing the collection of information. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.

Section 1 Program Components

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

1.1 Check which components you will operate under the LIHEAP program. (Note: You must provide information for each component designated here as requested elsewhere in this plan.)		**Dates of Operation**	
		Start Date	**End Date**
☑	**Heating assistance**	10/01/2017	09/30/2018
☐	**Cooling assistance**		
☑	**Crisis assistance**	10/01/2017	09/30/2018
☑	**Weatherization assistance**	10/01/2017	09/30/2018

Provide further explanation for the dates of operation, if necessary

CSD maintains a 15 month contract with our network of service providers which runs from 10/1/2017 through 12/31/2018. The intent of the 15 month contract term is to ensure there is no disruption of services if Federal funds are not released by 10/1/2017.

Services provided from October 1, 2017 - December 31, 2018 CSD will be billed under FFY 2018 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 (%)**
Heating assistance	27.00%
Cooling assistance	0.00%
Crisis assistance	33.00%
Weatherization assistance	15.00%
Carryover to the following federal fiscal year	10.00%
Administrative and planning costs	10.00%
Services to reduce home energy needs including needs assessment (Assurance 16)	5.00%

Used to develop and implement leveraging activities	0.00%
TOTAL	100.00%

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

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

☐	**Heating assistance**	☐	**Cooling assistance**
☐	**Weatherization assistance**	☑	**Other (specify:)** CSD maintains a year round program from 10/1/2017 through 12/31/2018

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

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

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

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

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

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

If Yes, explain:

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

SNAP Nominal Payments

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

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

1.7b Amount of Nominal Assistance: $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**

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

☑	**Wages**
☑	**Self - Employment Income**
☐	**Contract Income**

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

☐	**Income tax refunds**
☐	**Stipends from senior companion programs, such as VISTA**
☐	**Funds received by household for the care of a foster child**
☐	**Ameri-Corp Program payments for living allowances, earnings, and in-kind aid**
☐	**Reimbursements (for mileage, gas, lodging, meals, etc.)**
☑	**Other** TANF

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

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ADMINISTRATION FOR CHILDREN AND FAMILIES

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

Section 2 - Heating Assistance

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

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

Add	Household size	Eligibility Guideline	Eligibility Threshold
1	All Household Sizes	State Median Income	60.00%

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

Explanations of policies for each "yes" checked above:

Each Local Service Provider is required to submit a priority plan as part of their contract. The priority plan identifies four categories: Poverty Level, Energy Burden, Vulnerable Population and Agency-Defined. Agency-Defined category is optional. The following five priority categories will serve as the basis for Agency-Defined priorities (examples provided are not all inclusive):

Medically Needy – *Examples*: Needing special medical equipment, high medical expenses relative to income

Frail Elderly – *Examples*: Homebound, 80+, living alone, lack of access to services, poor health

Severe Financial Hardship – *Examples*: Recent loss of income, receiving Unemployment Insurance Benefits (UIB), high risk of homelessness, income eligible for LIHEAP but ineligible for other need-based benefits

Hard to Reach– *Examples*: Geographically/culturally isolated, language barrier(s), significantly underrepresented in clients served vs. local demographics

Priority Offsets – *Examples*: Client receiving other utility, rent or mortgage subsidies; client served in previous year.

NOTE: No application for benefits may be rejected based on previous receipt of benefits, and an alternate-year policy must allow for continuing prioritization of services to the most vulnerable clients. An "alternate-year policy" may be one of the elements in a priority system for determining eligibility for LIHEAP benefits and assistance (see the "Priority Offsets" category above). However, an alternate year policy will not be used to arbitrarily deny benefits or assistance to clients who are genuinely needy, particularly if the result is to grant benefits or assistance to a less needy applicant.

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

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

Based on an assessment of each client, Local Service Providers assign points for each of the first three categories and the Agency-Defined categories, if the Local Service Provider elects to use this additional fourth category. Clients with the highest resulting number of points are served first, though priority may be given to households with life-threatening emergencies.

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

☑ **Income**

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

CSD conducted an "Individual Utility Company Rate Survey" in 2017. In the survey, utility companies report their residential rates, by county, for gas and electricity. CSD uses this information to establish average utility costs for each county. These costs will be used to factored into the benefit formula to determine LIHEAP benefit levels.

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

2.6 Describe estimated benefit levels for FY 2018:

Minimum Benefit	$140	**Maximum Benefit**	$1,000

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

If yes, describe.

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

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Section 3 - Cooling Assistance

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

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

Add	Household size	Eligibility Guideline	Eligibility Threshold
1	All Household Sizes	State Median Income	60.00%

3.2 Do you have additional eligibility requirements for COOLING ASSITANCE?	○ Yes ◉ No
3.3 Check the appropriate boxes below and describe the policies for each.	
Do you require an Assets test ?	○ Yes ◉ No
Do you have additional/differing eligibility policies for:	
Renters?	○ Yes ◉ No
Renters Living in subsidized housing ?	○ Yes ◉ No
Renters with utilities included in the rent ?	○ Yes ◉ No
Do you give priority in eligibility to:	
Elderly?	◉ Yes ○ No
Disabled?	◉ Yes ○ No
Young children?	◉ Yes ○ No
Households with high energy burdens ?	◉ Yes ○ No
Other? See explanations below	◉ Yes ○ No

Explanations of policies for each "yes" checked above:

Each Local Service Provider is required to submit a priority plan as part of their contract. The priority plan identifies four categories: Poverty Level, Energy Burden, Vulnerable Population and Agency-Defined. Agency-Defined category is optional. The following five priority categories will serve as the basis for Agency-Defined priorities (examples provided are not all inclusive):

Medically Needy – *Examples*: Needing special medical equipment, high medical expenses relative to income

Frail Elderly – *Examples*: Homebound, 80+, living alone, lack of access to services, poor health

Severe Financial Hardship – *Examples*: Recent loss of income, receiving Unemployment Insurance Benefits (UIB), high risk of homelessness, income eligible for LIHEAP but ineligible for other need-based benefits

Hard to Reach– *Examples*: Geographically/culturally isolated, language barrier(s), significantly underrepresented in clients served vs. local demographics

Priority Offsets – *Examples*: Client receiving other utility, rent or mortgage subsidies; client served in previous year.

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

Based on an assessment of each client, Local Service Providers assign points for each of the first three categories and the Agency-Defined categories, if the Local Service Provider elects to use this additional fourth category. Clients with the highest resulting number of points are served first, though priority may be given to households with life-threatening emergencies.

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):

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

CSD will conduct an "Individual Utility Company Rate Survey" in 2017. In the survey, utility companies will report their residential rates, by county, for gas and electricity. CSD will use this information to establish the average utility costs for each county. These costs will be used to factor into the benefit forumla to determine the LIHEAP benefit levels.

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

3.6 Describe estimated benefit levels for FY 2018:

Minimum Benefit	$140	Maximum Benefit	$1,000

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.

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Section 4: CRISIS ASSISTANCE

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

4.1 Designate the income eligibility threshold used for the crisis component

Add	Household size	Eligibility Guideline	Eligibility Threshold
1	All Household Sizes	State Median Income	60.00%

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

CSD uses the federal definition of a crisis (Low Income Energy Assistance Act § 2603 (3)): "weather-related and supply shortage emergencies and other household energy related emergencies." Crisis funds may only be used in accordance with the federal definition, including:

1. A natural disaster (whether or not officially declared),
2. A significant home energy supply shortage or disruption,
3. An official declaration of a significant increase in:
4. - Home energy costs,
5. - Home energy disconnections,
6. - Enrollment in public benefit programs, or
7. - Unemployment and layoffs, or
8. An official emergency declaration by the Secretary of Health and Human Services,

In those situations where there is not an official federal, state, or local declaration of emergency, an emergency may be deemed to exist by CSD where there is imminent danger, requiring immediate action to prevent or mitigate the loss or impairment of life, health, property, or essential public services.

4.3 What constitutes a life-threatening crisis?

Life-Threatening: Applicant is without heating, cooling or utility service during extreme weather conditions, as determined by the local administrative agency. This may include energy-related situations that pose a threat to the heath and safety of one or more members of the household.

Crisis Requirement, 2604(c)

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

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

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

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

Must the household have non-working heating or cooling equipment?	○ Yes ◉ No
Other? Proof of utility shutoff notice; Proof of energy termination; Insufficient funds to establish a new energy account; Insufficient funds to pay a delinquent utility bill; Insufficient funds to pay for essential firewood, oil or propane; Insufficient funds to pay the cost of repairing or replacing an eligible heating or cooling appliance or for a new heating or cooling appliance; and/or Applicant has a medical condition that requires temperature or climate control and the heating/cooling appliance is considered hazardous, nonexistent, or inoperable	◉ Yes ○ No

Do you have additional / differing eligibility policies for:

Renters?	○ Yes ◉ No
Renters living in subsidized housing?	○ Yes ◉ No
Renters with utilities included in the rent?	○ Yes ◉ No

Explanations of policies for each "yes" checked above:

Each Local Service Provider is required to submit a priority plan as an attachment to their contract. The priority plans are in narrative format and identify multiple categories used to prioritize services, such as: Poverty Level, Energy Burden, Vulnerable Population, New Applicants, Health & Safety Issues, Proximity to other eligible dwellings and Agency-Defined (Agency-Defined categories are described above). Based on an assessment of each applicant, some Local Service Providers prioritize by assigning points for each of these categories and serving those with the highest point value first, though priority may be given to households with life-threatening emergencies.

Determination of Benefits

4.8 How do you handle crisis situations?

☑ **Separate component**

☑ **Fast Track**

☑ **Other - Describe:**

The Crisis Program is limited to four activities:

1. Fast Track (electric and gas) utility payments
2. Energy Crisis Intervention Program Wood, propane and oil (ECIP WPO) payments
3. Emergency heating and cooling services (EHCS)
4. Severe Weather Energy Assistance and Transportation Services (SWEATS)

Fast Track benefits are determined by the Local Service Providers, but payments to the utility companies are processed, centrally, by CSD, where ECIP WPO assistance, EHCS and SWEATS benefits are provided locally. Local Service Providers have the ability to increase the Fast Track base amount by adding a supplemental benefit. The total benefit amount cannot exceed the total amount of the entire utility bills (to include energy charges, reconnection fees, and other assessed utility fees/surcharges to alleviate the crisis situation) or $1,000, whichever is less.

ECIP WPO benefits are determined at the local level based on clients inability to pay for essential firewood, oil or propane. The amount of the benefit is based on the cost to resolve the crisis.

EHCS services provide payment for energy-related repairs or replacement of non-functioning heating, cooling appliances and water-heating appliances. The benefit amount is based on the cost of the repair or replacement, up to the maximum amount as determined annually.

SWEATS services provide payment to address energy-related emergency needs of low-income households affected by a natural disaster. Typical services include additional utility assistance, temporary housing services, transportation services and temporary heating/cooling devices. The amount of the benefit may vary depending on the benefit offered.

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

☑ **Amount to resolve the crisis.**

☑ **Other - Describe:**

Fast Track benefits are determined by the Local Service Providers, but payments to the utility companies are processed, centrally, by CSD, where ECIP WPO assistance, EHCS and SWEATS benefits are provided locally. Under Fast Track, Local Service Providers have the ability to add a supplemental amount to the base benefit to increase the total benefit amount. The total benefit amount cannot exceed the total amount of the entire utility bills (to include energy charges, reconnection fees, and other assessed utility fees/surcharges to alleviate the crisis situation) or $1,000, whichever is less.

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.**

Large service territories typically have satellite offices or other non-profit agencies which accept applications.

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

Submit applications for crisis benefits without leaving their homes?

◉ Yes ○ No **If No, explain.**

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

(●) Yes ( ) No **If No, explain.**

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

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

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

Winter Crisis	$0.00	**maximum benefit**
Summer Crisis	$0.00	**maximum benefit**
Year-round Crisis	$1,000.00	**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 SWEATS program provides these benefits given a specific emergency.

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): Water Heater	☐	☐	☑

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.

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

Section 5 - WEATHERIZATION ASSISTANCE

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Section 5: WEATHERIZATION ASSISTANCE

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

5.1 Designate the income eligibility threshold used for the Weatherization component

Add	Household Size	Eligibility Guideline	Eligibility Threshold
1	All Household Sizes	State Median Income	60.00%

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

5.3 If yes, name the agency.

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

WEATHERIZATION - Types of Rules

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

☐ **Entirely under LIHEAP (not DOE) rules**

☐ **Entirely under DOE WAP (not LIHEAP) rules**

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

- ☐ **Income Threshold**
- ☑ **Weatherization of entire multi-family housing structure is permitted if at least 66% of units (50% in 2- & 4-unit buildings) are eligible units or will become eligible within 180 days**
- ☐ **Weatherize shelters temporarily housing primarily low income persons (excluding nursing homes, prisons, and similar institutional care facilities).**
- ☐ **Other - Describe:**

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

- ☐ **Income Threshold**
- ☐ **Weatherization not subject to DOE WAP maximum statewide average cost per dwelling unit.**
- ☐ **Weatherization measures are not subject to DOE Savings to Investment Ration (SIR) standards.**
- ☐ **Other - Describe:**

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

5.6 Do you require an assets test?	○ Yes ◉ No
5.7 Do you have additional/differing eligibility policies for :	
Renters	○ Yes ◉ No
Renters living in subsidized housing?	○ Yes ◉ No
5.8 Do you give priority in eligibility to:	
Elderly?	◉ Yes ○ No
Disabled?	◉ Yes ○ No
Young Children?	◉ Yes ○ No
House holds with high energy burdens?	◉ Yes ○ No

Other? See explanation below	◉ 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.

Each Local Service Provider is required to submit a priority plan as an attachment to their contract. The priority plans are in narrative format and identify multiple categories used to prioritize services, such as: Poverty Level, Energy Burden, Vulnerable Population, New Applicants, Health & Safety Issues, Proximity to other eligible dwellings and Agency-Defined (Agency-Defined categories are described above). Based on an assessment of each applicant, some Local Service Providers prioritize by assigning points for each of these categories and serving those with the highest point value first, though priority may be given to households with life-threatening emergencies.

Benefit Levels

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

5.10 If yes, what is the maximum? $7,105

Types of Assitance, 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**
☑ **Compact florescent light bulbs**	☑ **Other - Describe:** Please see attachment

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.

Question 5.11

Line No.	Measure
SECTION: Mandatory - Assessments/Diagnostics	
1	Dwelling Assessment
2	REM/Design Energy Audit
3	Combustion Appliance Safety Test
4	Blower Door Test
5	Duct Leakage Test
6	Environmental Testing
7	HERS Rater
8	Permits
9	Contractor Post-Weatherization Inspection
SECTION: Mandatory - Health and Safety	
1	Carbon Monoxide Alarm
2	Smoke Alarm
3	Cooking Appliance Repair, Free Standing Range or Cook Top
4	Cooking Appliance Replacement, Free Standing Range or Cook Top
5	Cooling Repair
6	Cooling Replacement
7	CVA Venting
8	Heating Source Repair
9	Heating Source Replacement
10	Lead-Safe Weatherization
11	Water Heater Repair
12	Water Heater Replacement
13	Solar Water Heater - Scheduled Maintenance
14	Solar Water Heater - Warranty Work
SECTION: Mandatory	
1	Attic Ventilation
2	Caulking
3	Ceiling Insulation
4	Compact Fluorescent Lamps
5	Cover Plate Gasket
6	Door, Exterior (All Other Types)
7	Door, Sliding Glass
8	Duct Insulation
9	Duct Repair and Replacement
10	Filter Replacement
11	Fluorescent Torchiere Lamp Replacement
12	Glass Replacement - Catastrophic leaks only
13	Hot Water Flow Restrictor
14	Kitchen Exhaust Installation, Repair & Replacement

15	Kneewall Insulation
16	LED Night Lights
17	LED Replacement Bulbs
18	Limited Home Repair
19	Low Flow Toilet
20	Mechanical Ventilation (if required by blower door diagnostics and MV calculations)
21	Microwave Oven
22	Minor Envelope Repair
23	Refrigerator Replacement
24	Thermostat
25	Vacancy Sensor Switch
26	Vent Cover, Interior
27	Water Heater Insulation
28	Water Heater Pipe Insulation
30	Weatherstripping
31	Window
SECTION: Optional	
1	Ceiling Fan
2	Exterior Water Pipe Wrap
3	Floor Foundation Venting
4	Floor Insulation
5	Mechanical Ventilation
6	Power Strips
7	Shadescreens
8	Storm Windows
9	Timer, Electric Water Heater
10	Tinted Window Film
11	Wall Insulation, Stucco and Wood

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

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

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

  - Partnerships with utility companies
  - Outreach to: legislative offices, community organizations, and attendance at community events
  - Referrals to CSD's programs from child care centers
  - Pamphlets
  - Toll-free phone line
  - CSD's website
  - Contractors' websites
  - Special events
  - Canvass neighborhoods and go door to door
  - Distributes flyers at schools

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

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

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

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

☐	**Joint application for multiple programs**
☑	**Intake referrals to/from other programs**
☑	**One - stop intake centers**
☑	**Other - Describe:**

CSD and Local Service Providers coordinate activities with similar and related programs administered by the federal, state, and the public and private sector, particularly low-income, energy conservation programs. CSD is working with the California Public Utilities Commission (CPUC) and the state's investor owned utility companies to develop strategies to better leverage and coordinate our mutual resources to benefit low-income households in the state.

Local Service Providers refer potentially eligible applicants, including heating and cooling, and crisis applicants, to the weatherization program, California Alternate Rate for Energy (CARE), Reduced Rate Programs (RRP), and/or to other energy or conservation programs. This referral is accomplished through interagency agreements, communications with pertinent agencies, one-stop centers, utility companies, and public/private partnerships. Local Service Providers provide assistance in coordinating the payment of client's energy/utility bill with the appropriate energy vendor or utility company.

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

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

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

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

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

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

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

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

N/A

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

N/A

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

N/A

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

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

8.6 What is your process for selecting local administering agencies?

In accordance with California Government Code section 16367.5, LIHEAP Local Service Providers (LSP) were grandfathered in as the designated provider for their respective service territory. The LSP network is comprised of more than 40 Local Service Providers (LSPs), which include private, non-profit and local government service providers. These LSPs have strong ties to their local communities and have many years of experience providing public assistance programs to the low-income customer in their respective service territory.

8.7 How many local administering agencies do you use? 42

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

- ○ Yes
- ◉ No

8.9 If so, why?

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

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

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

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

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

9.1 Do you make payments directly to home energy suppliers?

Heating	(•) Yes ( ) No
Cooling	(•) Yes ( ) No
Crisis	(•) Yes ( ) No
Are there exceptions?	(•) Yes ( ) No

If yes, Describe.

In most cases, direct payments are issued to energy vendors. Occasionally, dual party warrants are issued and are made payable to the client and the energy vendor. On those few occasions when utilities are included in the rent or sub-metered, warrants are issued directly to the client.

For those heating and cooling and crisis clients whose energy source is WPO, Local Service Providers make payment directly to energy vendors.

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

1. When a WPO payment is made directly to an energy vendor, the Local Service Provider sends the client a letter, advising them of the LIHEAP payment amount and date.

2. When a crisis, and/or heating and cooling payment is made to an applicant with utilities included in rent, submetered utilities or utilities with non-participating utility companies, the Local Service Provider provides the client letter indicating the amount of the benefit and the utility company to be paid, if applicable.

3. When a crisis, and/or heating and cooling payment is made directly to an energy vendor, the vendor shows the amount of the credit on the customer's bill, indicating that the payment was made to LIHEAP. The Local Service Provider provides the client with a letter indicating the amount of the benefit and the utility company to be paid.

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?

When a crisis, and/or heating and cooling payment is made directly to an energy vendor, the vendor shows the amount of the credit on the customer's bill, indicating that the payment was made by LIHEAP. The Local Service Provider provides the client with a letter indicating the amount of the benefit and the utiltiy company to be paid.

CSD evaluates the notification process of LIHEAP payments during program evaluation visits.

A different process is in place for Crisis payments, depending on whether the home energy supplier is a regulated utility or a non-regulated one.

Regulated Utilities are audited by the California Public Utilities Commission (CPUC) to ensure that proper billing procedures are in place and the amount of payments or credits are accurate. No modification of energy rates can occur without a public regulatory process, which is administered by the CPUC.

For Non-Regulated energy vendors:

1. Local Service Providers use a "Confirmation of Payment" form whereby the non-regulated energy vendors records the date and amount credited for each account.
2. Local Service Providers are required to have each home energy supplier sign an assurance agreeing to the requirements of this section. Local Service Providers keep this information on file and clients are advised of their right to fair and equal treatment at the time of service. CSD staff ensures compliance with this provision during program evaluation visits.
3. Local Service Providers verify, before paying energy suppliers for all types of delivered fuels, that the charges for the services and goods provided are reasonable and within fair-market value. The amounts of these charges are reviewed during program evaluation visits made by CSD staff.

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?

Local Service Providers require each home energy supplier to sign an agreement to adhere to the requirements of this assurance. Local Service Providers keep this information on file and clients are advised of their right to fair and equal treatment at the time of service. CSD staff ensures compliance with this provision during program evaluation visits.

9.5. Do you make payments contingent on unregulated vendors taking appropriate measures to alleviate the energy burdens of eligible households?
( ) Yes (•) No

If so, describe the measures unregulated vendors may take.

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

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

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

August 1987, revised 05/92,02/95,03/96,12/98,11/01
OMB Clearance No.: 0970-0075
Expiration Date: 06/30/2017

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

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

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

CSD maintains fiscal controls and accounting practices in accordance with the California Uniform Accounting System. Our financial management system maintains financial data and accounting records supported by source documentation for all federal funds administered. CSD's internal control structure conforms to state and federal procedures. See below for additional information.

Audit Process

10.2. Is your LIHEAP program audited annually under the Single Audit Act and OMB Circular A - 133?
(•) Yes ( ) No

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

No Findings ☐

Finding	Type	Brief Summary	Resolved?	Action Taken
1	other	California Bureau of State Audits conducted an A-133 audit of CSD. Pursuant to the "Terms and Conditions Addendum: Additional Financial Requirements" CSD appears to be outside of the two-year funding period (or the obligation period) which is from the first day of the FFY. Any Federal funds not obligated by the end of the obligation period will be recouped by HHS.	No	procedure/policy changes
2				

10.4. Audits of Local Administering Agencies

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

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

Compliance Monitoring

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

Grantee employees:

- ☑ **Internal program review**
- ☑ **Departmental oversight**

- [x] Secondary review of invoices and payments
- [ ] Other program review mechanisms are in place. Describe:

Local Adminstering Agencies / District Offices:

- [x] On - site evaluation
- [ ] Annual program review
- [x] Monitoring through central database
- [x] Desk reviews
- [x] 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.

CSD Field Operations Unit conducts on-site monitoring visits at least every (3) three years to verify compliance.

In general, CSD's monitoring schedule runs from March 1 - October 31

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

Site Visits:

All LIHEAP agencies have on-site monitoring reviews at least every three years. After conducting an annual risk assessment, the riskiest agencies are monitored first with a subsequent follow up monitoring focusing on the issues identified to ensure full resolution. If funding and/or staffing is insufficient, LIHEAP agencies will receive an in-house review in lieu of an on-site visit.

Desk Reviews:

All LIHEAP agencies receive an in-house desk review once per year during non on-site monitoring years. If funding and/or staffing is insufficient, LIHEAP agencies will receive an in-house review in lieu of an on-site visit.

10.8. How often is each local agency monitored ?

At least every three years

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

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

10.11. How many local agencies are currently on corrective action plans for eligibility and/or benefit determination issues? 3

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

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

10.3 Description of "Action Taken"

Finding 1: In accordance with the BSA's recommendations, CSD will conduct the necessary trainings to ensure compliance with the period of performance requirement. Current processes will be evaluated and redesigned as necessary, and internal controls implemented that ensure CSD's ongoing compliance with the two-year obligation period. In addition, CSD is working with OCS to obtain information on the final resolution of this finding.

STATE OF CALIFORNIA
Department
of
Community Services and Development

MONITORING SCOPE OVERVIEW

Energy & Environmental Services Division

Field Operations Unit

Rev. 2/2/2017

Serving Low-Income Families Through Community Partners

INTRODUCTION

The Department of Community Services & Development (CSD), as the recipient of the Federal and State funding, is responsible for oversight of the operations of the Department of Energy Weatherization Assistance Program (DOE WAP). As such, CSD is required to monitor the activities of its Contractors (also referred to as 'agency' or 'Local Service Provider') and this is accomplished by conducting In-House Reviews and On-site Reviews. The purpose of the 'Reviews' is to ensure the Contractor meets the Administrative Requirements, Financial Requirements, Programmatic Requirements, Certification and Assurances Requirements, and other applicable requirements as prescribed in the contract and referenced therein (2 C.F.R. §200.328; DOE WAP Part II Subpart D Article 10.3 A-E).

In-house Review is conducted at CSD prior to the on-site monitoring visit. The information analyzed during the In-house Review is used to help assess the health of the agency and assist in formulating the on-site review strategy. CSD Field Representatives will review any on-going issues throughout the year, prior monitoring issues, agency correspondence, the agency's responses to the Pre-Monitoring Questionnaire, and conduct the pre-monitoring analysis activities stated within each monitoring scope section.

On-site Review is conducted at the Local Service Provider's location (also referred to as 'monitoring visit' or 'on-site monitoring'). The On-site Review predominantly consists of verification of processes and activities such as, but not limited to, fiscal reconciliation, client file verification, etc. Depending on the outcome of the review, CSD Field Representatives may expand the sampling size to determine whether the issue is isolated or systemic. Lastly, CSD Field Representatives will also verify that all previous In-House and On-site Review issues have been resolved during the on-site monitoring visit.

Specific documents are requested in advance in an effort to reduce the amount of time spent on-site and to allow CSD Field Representatives the opportunity to identify any deficiencies in order to prepare for Training and Technical Assistance (T&TA) that will be provided while on-site. Financial supporting documents for the fiscal line item reconciliation will be identified and requested from the agency no less than five (5) business days prior to the on-site monitoring visit. Local Service Providers will be given the option of 1) retrieve the client files prior to the on-site visit; or 2) elect to have the CSD Field Representative retrieve the client files during the on-site monitoring visit.

In an effort to provide transparency, the CSD Field Representatives will be identifying "POTENTIAL" Recommendations, Observations, and/or Findings throughout the on-site monitoring visit and during the on-site monitoring Exit Conference. However, the ultimate determination will be made following the two-week review period and will be reflected in the final monitoring report. Although the basic premise is to "standardize" the Monitoring process, the uniqueness of each agency and circumstances at the time of the visit will impact the ultimate outcome of the final Monitoring Report.

MONITORING SCOPE OVERVIEW

The general scope for CSD Energy & Environmental Services Division's monitoring includes, but is not limited to, the following areas:

I. ADMINISTRATIVE REQUIREMENTS

A. ADMINISTRATIVE POLICIES AND PROCEDURES

1. Board Roster, By Laws, Resolution and Minutes

2016 DOE WAP Part II Subpart A Article 4.1

The purpose of this review is to ensure that the agencies are in compliance with their By Laws and that the Board is regularly updated with any impactful Energy Program issues.

i. ***In-house Review:*** CSD Field Representatives will review the Board Minutes to verify that Board Meetings are being held in accordance with the Board By Laws, Board Meeting Minutes are being submitted to CSD, and whether Energy Programs are being discussed during meetings.

ii. ***On-site:*** If the CSD Field Representatives have not been receiving Board Meeting Minutes or there is a concern as to whether the Board is being kept apprised of Energy Program contracts, then the CSD Field Representatives will follow up with the appropriate parties during the on-site Monitoring Visit.

2. Internal Controls Requirements

2 C.F.R. 200.61-62; 2 CFR 200.313; and 2016 DOE WAP Part II Subpart A Article 4.2(F)

The purpose of this review is to ensure the agency performs regular inventory of property, a control system to safeguard assets, maintains maintenance records for vehicles and equipment purchased with Federal funds, and conducts internal reviews of accounting and administrative controls.

i. ***In-house Review:*** CSD Field Representatives will review the agency's response(s) provided in the Pre-Monitoring Questionnaire, its maintenance records, and results of internal reviews (formal report or board meeting minutes).

ii. ***On-site Review:*** If CSD Field Representatives have questions regarding maintenance records, or internal reviews, CSD Field Representatives will follow-up on-site through agency staff interviews.

3. **Record Retention Requirements**
2 C.F.R. 200.333-337 and 2016 DOE WAP Part II Subpart A Article 4.3

The purpose of this review is to ensure the agency retains records (financial, equipment, employee, and client) for at least three (3) years after the close-out of the contracts, or any audits or legal proceedings, and that those records are maintained in a secure and confidential manner.

i. ***In-house Review:*** CSD Field Representatives will review the agency's response(s) provided in the Pre-Monitoring Questionnaire and its Record Retention policy to determine how long files are being kept, the frequency of electronic back-ups, and when files were last purged.

ii. ***On-site Review:*** CSD Field Representatives will complete a visual inspection of where files are stored including, but not limited to, eligible, denied and appealed clients.

4. **Travel and Per Diem**
2 C.F.R. 200.474, C.C.R. 599.615-638 and 2016 DOE WAP Part II Subpart A Article 4.6

The purpose of this review is to ensure the agency follows its written travel policy, or is abiding by the California Code of Regulations.

i. ***In-house Review:*** CSD Field Representatives will review the agency's response(s) provided in the Pre-Monitoring Questionnaire and utilize the EARS database to verify if the agency has any out-of-state travel expenses budgeted, if any costs have been incurred, and will review the working file to determine if any CSD 536 forms (Out-of-State Travel) have been submitted.

ii. ***On-site Review***: CSD Field Representatives may conduct a fiscal reconciliation for any travel, in-state or out-of-state, to ensure costs reported are in conformance with the agency's policy.

5. **Codes of Conduct**
2 C.F.R. 200.318 and 2016 DOE WAP Part II Subpart A Article 4.7

The purpose of this review is to ensure the agency follows its written Codes of Conduct policy.

i. ***In-house Review:*** CSD Field Representatives will review the agency's response(s) to the Pre-Monitoring Questionnaire and its Codes of Conduct policy.

ii. ***On-site Review***: If issues were identified during the In-house Review, CSD Representatives will follow-up while on-site.

6. **Conflict of Interest**
2 C.F.R. 200.112, 200.318 and 2016 DOE WAP Part II Subpart A Article 4.8

The purpose of this review is to ensure the agency, if electing to provide CSD services to employees, officers, board members, and/or friends and family, has a process in place that prevents the appearance of preferential treatment, and is adhering to the approval procedure as prescribed in the contract.

i. ***In-house Review:*** CSD Field Representatives will review the agency's response(s) to the Pre-Monitoring Questionnaire and its Conflict of Interest Policy and Procedure.

ii. ***On-site Review***: CSD Field Representatives will verify if any services have been provided to employees, relatives of employees, board members and/or officers. If such services were provided, CSD Field Representatives will review those files to ensure preferential treatment was avoided.

7. **Procurement**
2 C.F.R. 200.317-326 and 2016 DOE WAP Part II Subpart A Article 4.9

The purpose of this review is to ensure the agency's Procurement Policy and Procedures are in compliance with the OMB Uniform Guidance including, but not limited to, open and free competition including a cost analysis.

i. ***In-house Review***: CSD Field Representatives will review the agency's responses to the Pre-Monitoring Questionnaire, and its Procurement Policy and Procedure. On an on-going basis, CSD Field Representatives will review any CSD 558 Request for Pre-Approval of Purchase/Lease to follow-up on obtaining proof of purchase.

ii. ***On-site Review:*** CSD Field Representatives will test the agency's procurement process via a review of the agency's subcontractor procurement or other item(s) procured with DOE funds. If CSD Field Representatives have any questions on the procurement of materials, equipment, and/or subcontractors, supporting documentation may be requested, and agency staff may be interviewed for further clarification.

8. **Use and Disposition of Vehicles and Equipment**
2 C.F.R. 200.311, 200.313, 200.436, CPN-E 14-002 and 2016 DOE WAP Part II Subpart A Article 4.10

The purpose of this review is to ensure the agency's Use and Disposition Policy and Procedures are in compliance with the OMB Uniform Guidance

including, but not limited to, use of vehicles, user fees, property logs, and limitation on use of funds.

i. ***In-house Review***: CSD Field Representatives will review the agency's responses to the Pre-Monitoring Questionnaire, its property log, and program income tracking.

ii. ***On-site Review:*** If issues were identified during the In-house Review, CSD Representatives will follow-up while on-site.

9. Subcontracts (CSD)
2 CFR 200.300-331; and 2016 DOE WAP Part II Subpart A Article 4.11

The purpose of this review is to ensure the agency's Subcontractor Agreements are in compliance with all contract requirements, proper procurement was conducted, adequate oversight is in place, and that CSD was notified timely of any new agreements.

i. ***In-house Review***: CSD Field Representatives will review the agency's response(s) to the Pre-Monitoring Questionnaire, its Subcontractor Oversight Policy, and all energy Subcontractor Agreements, including the original solicitation and procurement process.

ii. ***On-site Review:*** CSD Field Representatives will review weatherization client files to verify proper documentation is within the file, that reimbursement rates are being adhered to, and that there is proper oversight of the subcontractors.

10. Complaint Management Policies and Procedures
2016 DOE WAP Part II Subpart A Article 4.12

The purpose of this review is to ensure the agency has established policies and procedures for handling complaints, applicants are afforded an opportunity to register a complaint, the agency offers a reasonable remedy within the contract timeframes, and formal written complaints are documented.

i. ***In-house Review:*** CSD Field Representatives will review the agency's response(s) to the Pre-Monitoring Questionnaire, its Complaint Management Policy and Procedure, 15-day notification letter, and formal complaint tracking log.

ii. ***On-site Review:*** If issues were identified during the In-House Review, CSD Representatives will follow up while on-site.

11. Fair Hearing Process for Applications for Denial of Benefits by Contractor

22 C.C.R. 100805; 22 C.C.R. 100904.5; and 2016 DOE WAP Part II Subpart A Article 4.13

The purpose of this section is to ensure the agency has a written appeals process in place providing applicants who are denied benefits or services, or who receive an untimely response or unsatisfactory performance, the right to appeal.

i. ***In-house Review:*** CSD Field Representatives will review the agency's response(s) to the Pre-Monitoring Questionnaire and its Appeals Process.

ii. ***On-site Review***: If issues were identified during the In-House Review, CSD Representatives will follow-up while on-site.

12. Fraud, Waste and Abuse

2 C.F.R. 200.113, 31 U.S.C. 3321, 41 U.S.C. 2313 and 2016 DOE WAP Part II Subpart A Article 4.14

The purpose of this review is to ensure the agency has a system in place to notify CSD of incidents and activities, including suspected incidents and activities, involving the fraud, waste and/or abuse of Energy Program funds.

i. ***In-house Review:*** CSD Field Representatives will review the agency's response(s) to the Pre-Monitoring Questionnaire and its working file to determine if CSD was notified of any fraud, waste, and/or abuse.

ii. ***On-site Review:*** CSD Field Representatives will verify the agency has provided necessary information to their employees, subcontractors, clients, and other parties regarding contact information to report actual or suspected fraud, waste, and/or abuse.

II. FINANCIAL REQUIREMENTS

A. ADMINISTRATIVE AND PROGRAM EXPENDITURES REQUIREMENTS

1. Working Capital Advance and Major Purchase Advances

2 C.F.R. 200.305(b)(8), 22 C.C.R. 100840(a), 100855 and 2016 DOE WAP Part II Subpart B Article 5.2

The purpose of this review is to ensure the agencies requesting Working Capital Advances (WCA) and/or Major Purchase Advances (MPA) are placing the funds in an interest-bearing account.

i. ***In-house Review:*** CSD Field Representatives will review the agency's response(s) to the Pre-Monitoring Questionnaire and will review CSD's Financial Services Unit's Payment Tracking Log to determine if the agency has requested any WCAs or MPAs.

ii. ***On-site Review:*** If WCAs or MPAs were requested by the agency, then CSD Field Representatives will request a copy of the interest-bearing account bank statement.

2. **Program Income**
2 C.F.R. 200.307, 22 C.C.R. 100855(c) and 2016 DOE WAP Part II Subpart B Article 5.3

The purpose of this review is to ensure the agency maintains records of the receipt and disposition of all Program Income.

i. ***In-house Review:*** CSD Field Representatives will review the agency's response(s) to the Pre-Monitoring Questionnaire and review prior Close-Out Reports for reported Program Income.

ii. ***On-site Review***: If issues were identified during the In-House Review, CSD Representatives will follow-up while on-site.

3. **Allowable Costs**
2 C.F.R. 200.400-405, 200.420-475 and 2016 DOE WAP Part II Subpart B Article 5.4

The purpose of this review is to ensure the agency is claiming reimbursements for actual, allowable, and allocable Direct and Indirect costs.

i. ***In-house Review:*** CSD Field Representatives will review the response(s) to the Pre-Monitoring Questionnaire, reimbursement claims submitted to CSD, and any submitted CSD 558s.

ii. ***On-site Review:*** CSD Field Representatives will complete a financial line item reconciliation of reported costs for months which are identified five (5) working business days prior to CSD's on-site Monitoring Visit. Line item reconciliation will include reviewing the agency's supporting documentation including, but not limited to, general ledger, invoices, expenditure reports, client files, aged accounts payable, etc.

4. **Reimbursement Guidelines**
42 U.S.C. 8622(1), CPN 12-05 and 2016 DOE WAP Part II Subpart B Article 5.6

The purpose of this review is to ensure the agency is reporting measures within the allowable maximums, and not reporting dwellings until after they have been fully inspected, and that the average cost per dwelling is within the contract limits, and the client file contains the required applicable documentation.

i. ***In-house Review:*** CSD Field Representatives will review the reported Weatherization and EHCS measures that have an established maximum rate, the reimbursement amount shall be equal to the actual labor costs of Weatherization or EHCS crew members and the actual cost of the materials, subcontracted services not to exceed the maximum reimbursement allowable.

ii. ***On-site Review:*** CSD Field Representatives will review client files to ensure that the dwelling was post inspected prior to billing, and the file contains the applicable required documentation.

B. REPORTING POLICIES AND PROCEDURES

1. Reporting Requirements
2 C.F.R. 200.305, 200.343, CPN 12-05 and 2016 DOE WAP Part II Subpart B Article 6.1

The purpose of this review is to ensure the agency is submitting expenditures by the 15th of the month following the reporting month, and that expenditures reported are accompanied by the measure information submitted to the Weatherization Database.

i. ***In-house Review:*** CSD Field Representatives will review CSD's EARS Receipt and Approval spreadsheet to verify expenditure submissions, and the Weatherization Database to verify measure submission.

ii. ***On-site Review:*** If issues were identified during the In-House Review, CSD Representatives will follow-up while on-site.

III. PROGRAMMATIC REQUIREMENTS

A. PROGRAM POLICIES AND PROCEDURES

1. Service Priority Guidelines
2016 DOE WAP Part II Subpart C Article 7.2-7.3

The purpose of this review is to confirm the agency is prioritizing weatherization services and conducting outreach in accordance with their DOE Weatherization Priority Plan Narrative.

i. ***In-house Review:*** CSD Field Representatives will review the agency's responses to the Pre-Monitoring Questionnaire regarding outreach activities and review the agency's DOE Weatherization Priority Plan Narrative to become familiar with the agency's prioritization process.

ii. ***On-site Review:*** CSD Field Representatives will review client files to confirm that the agency is following its prioritization process according to their submitted Narrative.

2. Record-Keeping Responsibilities
2016 DOE WAP Part II Subpart C Article 7.6

The purpose of this review is to confirm the agency's client files contain the applicable intake and assessment forms and appropriate supporting documentation.

i. ***In-house Review:*** CSD Field Representatives will select the client files to be reviewed on-site from the Weatherization Database and EARS. Additionally, a review of the data submitted by the agency into the Weatherization Database will be conducted.

ii. ***On-site Review:*** CSD Field Representatives will review client files, utilizing the Client File Checklist to confirm that all files contain the applicable documentation as stated within the contract. Additionally, a comparison between the client files and the client data submitted to the Weatherization Database will be conducted.

B. PROGRAM IMPLEMENTATION

1. Weatherization Activity Guidelines
10 C.F.R. 440.22(b)(2), 16 U.S.C.470, 36 C.F.R. 60.4 and 2016 DOE WAP Part II Subpart C Article 8.1

The purpose of this review is to confirm the agency is determining applicant and dwelling eligibility in accordance with the weatherization program guidelines and is adhering to the weatherization activity guidelines as stated within the contract and the Field Guide.

i. ***In-house Review:*** CSD Field Representatives will select the client files to the reviewed on-site. Additionally, a preliminary review of the client file information will be conducted utilizing the information within the Weatherization Database.

ii. ***On-site Review:*** CSD Field Representatives will review client files, utilizing the Client File Checklist, to confirm that the agency is following the contract and Field Guide programmatic requirements.

2. Quality Assurance

2016 DOE WAP Part II Subpart C Article 8.2

The purpose of this review is to ensure the agency is performing post inspections, has adequate separation of duties and the post inspection maximum is not being exceeded when QCI services are subcontracted to another entity.

i. ***In-house Review:*** CSD Field Representatives will select the client files to the reviewed on-site. Additionally, a preliminary review of the client file information will be conducted utilizing the information within the Weatherization Database.

ii. ***On-site Review:*** CSD Field Representatives will review client files to ensure the agency is conducting 100% post inspections on all DOE billed dwellings.

C. TRAINING, LICENSING AND CERTIFICATIONS

1. Training Requirements

2016 DOE WAP Part II Subpart C Article 9.1

The purpose of this review is to confirm if that the agency's staff, including subcontractors and/or subrecipients, has received the appropriate training for their job duties as outlined in the contract.

i. ***In-house Review:*** CSD Field Representatives will review the completed training matrix within the Pre-Monitoring Questionnaire to confirm they agency has staff trained for all weatherization job duties listed.

ii. ***On-site Review:*** CSD Field Representatives will review client files to confirm agency staff and subcontractors who are completing assessments, installations and post-inspections have received the appropriate training.

2. Quality Control Inspectors Certification

2016 DOE WAP Part II Subpart C Article 9.2

The purpose of this review is to confirm the agency has a trained Quality Control Inspector (QCI) on staff or has entered into a subcontractor agreement for QCI services.

i. ***In-house Review:*** CSD Field Representatives will review the agency's responses to the Pre-Monitoring Questionnaire regarding the status of their QCI.

ii. ***On-site Review:*** CSD Field Representatives will review DOE Weatherization client files to confirm all post inspections are performed by the agency's QCI or subcontractor.

3. Contractor Licensing

CSLB, Toxic Substances Control Act section 402 and 2016 DOE WAP Part II Subpart C Article 9.3

The purpose of this review is to confirm the agency has the appropriate licensing for their scope of duties and are in compliance with the contract licensing requirements.

i. ***In-house Review:*** CSD Field Representatives will review the Contractors State License Board on a monthly basis to confirm the agency has an active Class B license to perform weatherization services, and possesses the appropriate license(s) for their scope of work.

ii. ***On-site Review:*** CSD Field Representatives will follow up with any issues identified with the agency's license status.

IV. CERTIFICATIONS AND ASSURANCES

A. FEDERAL AND STATE POLICY PROVISIONS

1. Affirmative Action Compliance

Title 412 C.F.R. section 60-1.40, 60-2.10-2.32, 60-250.4-250.33, 60-741.4-741.32, Executive Order 11246 Part II section 202 (amended by 11375) and 2016 DOE WAP Part II Subpart E Article 11.4

The purpose of this review is to verify whether the agency is in compliance with the Affirmative Action stipulation within the contracts.

i. ***In-house Review:*** CSD Field Representatives will review the agency's response(s) to the Pre-Monitoring Questionnaire and submitted written Affirmative Action Compliance Program, if applicable.

ii. ***On-site Review:*** CSD Field Representatives will follow up on-site if the pre-monitoring questionnaire did not contain a response to this section.

2. Specific Assurances

Public Law 103-333 section 507 and 2016 DOE WAP Part II Subpart E Article 11.7

The purpose of this review is to verify whether the agency is adhering to the American-Made Equipment/Products provision as stated within the 'Specific Assurances' portion of the contracts.

i. ***In-house Review:*** CSD Field Representatives will review the agency's response(s) to the Pre-Monitoring Questionnaire.

ii. ***On-site Review:*** CSD Field Representatives will follow up on-site if the pre-monitoring questionnaire did not contain a response to this section.

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

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

August 1987, revised 05/92,02/95,03/96,12/98,11/01
OMB Clearance No.: 0970-0075
Expiration Date: 06/30/2017

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

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

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

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

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

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

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

	Date	Event Description
1		Public Hearing at Department of Community Services and Development. 2389 Gateway Oaks Dr., Sacramento, CA 95833

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

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

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

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

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

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

12.1 How many fair hearings did the grantee have in the prior Federal fiscal year? 1

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?

There were no changes

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

Pursuant to Title 22 of the California Code of Regulations, Section 100805, Local Service Providers are required to establish a written appeals process to enable applicants who are denied benefits or services, or who receive untimely response or unsatisfactory performance, the right to appeal the decision or performance to the Contractor. The process must include, at a minimum, all of the requirements of Section 100805 subdivision (b), plus:

1. Provisions that ensure that each applicant is notified in writing of the right to appeal a denial of or untimely response to an application, or to appeal unsatisfactory performance, and the process to request such an appeal, at the time that each applicant submits an application. Such notification shall include information about the right to appeal to both the Contractor and to CSD.
2. Provisions that ensure that Local Service Providers will make a good faith effort to resolve each appeal.
3. Provisions that ensure that Local Service Providers notify the applicant in writing of the Local Service Provider's final decision within 15 working days after the appeal is requested. If the appeal is denied, the written notification must include instructions on how to appeal the decision to CSD. Whenever Local Service Providers notify an applicant of a denial of an appeal, Local Service Providers simultaneously provide a copy of the final decision CSD.
4. Provisions to enable Local Service Providers to collect information on denials and appeals in its regular program reporting.

12.5 When and how are applicants informed of these rights?

Applicants are informed, in writing, regarding the appeal process which is located on the CSD 43 Energy Intake From. Applicants sign and date acknowledgement that they have read and understand their rights to appeal. Additionally, applicants will be able to view their rights to appeal on CSD's public website.

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

During intake, Local Service Providers inform applicants of their right to appeal all claims for assistance that are denied or are not acted upon with reasonable promptness.

1. Local Service Providers review all claims from applicants who are determined ineligible for benefits or who have submitted written notice that there has been an unreasonable delay in processing their application or receiving their benefits.
2. Local Service Providers conduct a fair, and impartial appeals review and are required to make a good faith effort to resolve the applicant's complaint(s) at the local level. The Local Service Provider, as contractor, makes a written finding which sets forth the case of both parties and the decision of the Local Service Provider.
3. If the appeal is not resolved at the local level, Local Service Provider informs the applicant that an appeal to the State agency (CSD) may be requested as part of the Fair Hearing process and shall provide the applicant with the appropriate form.
4. If the applicant decides to appeal to CSD, the applicant submits a written appeal request to be received by CSD within 10 days from the date of the contracted Local Service Provider's final decision. Upon request from CSD, Local Service Providers provide all supportive documentation to be received by the State via email or postmarked within 5 working days.
5. Within 10 working days of receipt of the requested documentation from the contracted Local Service Provider, the CSD Fair Hearing Officer reviews the appeal and supportive documentation, confers with the appellant and the contracted Local Service Provider if necessary, and notifies parties of the hearing. Within 30 days from the date of the hearing, the parties are notified of the Fair Hearing Officer's decision in writing.

12.7 When and how are applicants informed of these rights?

Applicants are informed, in writing, regarding the appeal process which is located on the CSD 43 Energy Intake Form. Applicants sign and date acknowledgment that they've read and understand their rights to appeal. Additionally, applicants will be able to view their rights to appeal on CSD's public website. The "Filing Appeal" button can be found by clikcing the "Services" tab, then "Help paying your bills".

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?

Local Service Providers address the energy needs of low-income households by conducting a thorough energy needs assessment of each client, providing budget counseling, energy conservation education, and coordination with utility companies. Whenever possible, weatherization services are also provided to offer a preventive, holistic and long-term solutions to energy needs.

Local Service Providers maintain a source document that substantiates that the client was provided these services. The document is kept on file by the contractor and is reviewed during routine program evaluation visits made by CSD staff.

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

Up to 5% of the total block grant is allocated specifically for Assurance 16 activities and distributed by formula to the contractor network. CSD provides a budget form for contractors to account for Assurance 16 activities.

Local Service Providers are contractually required to submit monthly expenditure and activity reports to CSD. These reports are monitored cumulatively to ensure that no more than 5% is spent on Assurance 16 activities. The data is entered into an automated database management system, which calculates and verifies compliance. Status reports are printed regularly for use by CSD staff. Issues needing clarification and areas of concern are more readily identified with the automated system that, in turn, allows for a more timely resolution with contractors.

Local Service Providers are made aware of the 5% cap, and through the local planning process, have the flexibility to submit proposed funding levels up to the 5% cap, for activities specifically targeted for Assurance 16.

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

The impacts of the budget and energy education are that clients are more aware of their energy and household costs, which may result in overall household savings.

13.4 Describe the level ofdirect benefitsprovided to those households in the previous Federal fiscal year.

N/A

13.5 How many households applied for these services? N/A. CSD does not track the number of applications submitted for LIHEAP assistance.

13.6 How many households received these services? 219,265

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

Local Agencies participating in the Leveraging Incentive Program are required to submit a leveraging report to CSD. Agencies are required to retain all support documentation for period of three (3) years.

14.3 For each type of resource and/or benefit to be leveraged in the upcoming year that will meet the requirements of45 C.F.R. Â§ 96.87(d)(2)(iii),describe the following:

Resource	What is the type of resource or benefit ?	What is the source(s) of the resource ?	How will the resource be integrated and coordinated with LIHEAP?
1	Discount/waiver	Utility Companies	Local agencies and CSD coordinate the services provided under LIHEAP with existing reduced rate programs at Californias larger investor-owned utilities, as well as, many smaller municipal utilities. The coordination of these programs enables the agencies to expand services to families who otherwise would not receive assistance due to lack of information about the programs. This coordination occurs through prearranged agreements between the local CSD/LIHEAP contractors and the utility companies. The LIHEAP contractors work in direct conjunction with the utility companies by maintaining ongoing communication to screen and refer potential clients and coordinate benefits. In order to maximize the impact and effectiveness of both programs, applicants are screened to determine if the applicant from either source has already received any benefits. The applicant is provided assistance in completing an application for the reduced rate programs at the time the applicant is being assisted for HEAP.
2	Cash	Non-profits	This resource was integrated and coordinated with LIHEAP in two ways: a. Due to funds from both sources (LIHEAP and utility companies/third-party co-payments) being used in the same household, the low-income household benefited by receiving LIHEAP assistance in addition to assistance from either the utility company program or third-party co-payment once the LIHEAP programs maximum level of assistance was reached. b. To ensure that low-income household have year-around access to energy assistance and that the greatest number of low-income household receive assistance, local agencies have coordinated the services provided under LIHEAP with local private and public energy assistance programs. The coordination of these programs enables the agencies to expand emergency services to families who otherwise would not receive assistance through LIHEAP due to insufficient funds. The coordination occurs through prearranged agreements between the local LIHEAP contractors and the utility assistance providers. The LIHEAP contractors work in direct conjunction with the utility assistance providers by maintaining ongoing communication to screen potential clients and coordinate benefits. In order to maximize the impact and effectiveness of both programs, applicants are screened to determine if any benefits have already been received by the applicant from either source.
3	Cash	Utility companies	Utility companies provide funds to provider agencies, allowing agencies to install additional measures in qualifying low-income homes.
4	Cash	Utility companies	This resource was integrated and coordinated with LIHEAP due to funds from both sources (LIHEAP and utility companies) being used in the same household. The low-income household, therefore, was further weatherized to prevent the loss of heated and/or cooled air from the dwelling. As a result of the coordination of the weatherization contracts, additional LIHEAP-eligible households received weatherization measures, as appropriate an as allowable within LIHEAP contract. The client files are documented and maintained at each respective agency.
5	Cash	Utility companies	This resource is coordinated with LIHEAP because LIHEAP eligible and other low-income households are identified as needing repair or replacement of appliances during the time the dwelling is being assessed for weatherization services. Additionally, the utility companies utilize a bid process to identify administering agencies. CSD-funded agencies are successful in the bid process in large part due to their experience in providing weatherization services under LIHEAP and because they are known entity in the low-income community.

6	Cash	County	Funds were used in conjunction with LIHEAP to assist with utility deposits; to repair homes prior to receiving weatherization materials and for direct weatherization of LIHEAP eligible households which would not have received assistance due to lack of funding availability. As a result of the resources generated from the County General Fund, additional LIHEAP eligible households received weatherization measures mentioned in Resource #5 as appropriate and allowable within the LIHEAP contract. The client files are documented and maintained at each respective agency.
7	In-Kind Contribution	Landlords	Coordination with landlords to provide additional LIHEAP eligible households weatherization and appliances as appropriate and allowable within the LIHEAP contract.
8	Discount/waiver	Local Suppliers	Direct negotiations with local suppliers of weatherization materials for the LIHEAP Program resulted in lower than market costs for materials purchased in bulk quantities. As a result of the resources generated from the discount received from these bulk purchases, additional LIHEAP eligible homes received weatherization measures as appropriate and allowable within the LIHEAP contract.

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

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Section 15: Training

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

a. Grantee Staff:

- [x] **Formal training on grantee policies and procedures**
  - **How often?**
    - [x] **Annually**
    - [ ] **Biannually**
    - [x] **As needed**
    - [ ] **Other - Describe:**
- [x] **Employees are provided with policy manual**
- [ ] **Other-Describe:**

b. Local Agencies:

- [x] **Formal training conference**
  - **How often?**
    - [x] **Annually**
    - [ ] **Biannually**
    - [x] **As needed**
    - [ ] **Other - Describe:**
- [x] **On-site training**
  - **How often?**
    - [ ] **Annually**
    - [ ] **Biannually**
    - [x] **As needed**
    - [ ] **Other - Describe:**
- [x] **Employees are provided with policy manual**
- [ ] **Other - Describe**

c. Vendors

- [ ] **Formal training conference**
  - **How often?**
    - [ ] **Annually**
    - [ ] **Biannually**
    - [ ] **As needed**
    - [ ] **Other - Describe:**

☑	**Policies communicated through vendor agreements**
☐	**Policies are outlined in a vendor manual**
☐	**Other - Describe:**

15.2 Does your training program address fraud reporting and prevention?

◉ Yes
○ No

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

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

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

16.1 Describe your progress toward meeting the data collection and reporting requirements of the four required LIHEAP performance measures. Include timeframes and plans for meeting these requirements and what you believe will be accomplished in the coming federal fiscal year.

CSD implemented changes to its intake form to meet the required LIHEAP performance measures reporting.

CSD and its Local Service Providers modified its internal/external reporting system to enable CSD's local service providers to transfer data collected from the intake form into CSD's reporting system.

Over the next federal fiscal year, CSD will continue its efforts to partner with Investor Owned Utilities to obtain utility cost and consumption data.

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

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

CSD operates a toll free line that can be used by the public to report suspected fraud. The Bureau of State Audits has established a whistleblower hotline that is available to grantee staff to report information regarding possible fraud. The information is advertised via posters that are located throughout the department's office. Local administering agencies and vendors report fraud through various methods to the department via correspondence, telephone communication with grantee staff, and email to grantee staff. Upon notification of potential fraud, the department advises its legal office and an investigation commences. The department is in the process of developing procedures to systematically handle fraud reporting and to ensure fraud reporting is readily advertised to agencies, vendors and the general public.

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

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

CSD operates a toll free line that can be used by the public to report suspected fraud. The Bureau of State Audits has established a whistleblower hotline that is available to grantee staff to report information regarding possible fraud. The information is advertised via posters that are located throughout the department's office. Local administering agencies and vendors report fraud through various methods to the department via correspondence, telephone communication with grantee staff, and email to grantee staff. Upon notification of potential fraud, the department advises its legal office and an investigation commences. The department is in the process of developing procedures to systematically handle fraud reporting and to ensure fraud reporting is readily advertised to agencies, vendors and the general public.

17.2. Identification Documentation Requirements

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

Type of Identification Collected	Collected from Whom?					
	Applicant Only		All Adults in Household		All Household Members	
Social Security Card is photocopied and retained	[ ]	Required	[ ]	Required	[ ]	Required
	[x]	Requested	[ ]	Requested	[ ]	Requested
Social Security Number (Without actual Card)	[ ]	Required	[ ]	Required	[ ]	Required

	☑	Requested	☐	Requested	☐	Requested
Government-issued identification card (i.e.: driver's license, state ID, Tribal ID, passport, etc.)	☐	Required	☐	Required	☐	Required
	☑	Requested	☐	Requested	☐	Requested

	Other	Applicant Only Required	Applicant Only Requested	All Adults in Household Required	All Adults in Household Requested	All Household Members Required	All Household Members Requested
1		☐	☐	☐	☐	☐	☐

b. Describe any exceptions to the above policies.

17.3 Identification Verification

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

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

17.4. Citizenship/Legal Residency Verification

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

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

These requirements are only verified by our County agencies

17.5. Income Verification

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

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

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

17.6. Protection of Privacy and Confidentiality

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

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

Please see attachment

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
- [x] Vendors are verified through energy bills provided by the household
- [ ] Grantee and/or local agencies/district offices perform physical monitoring of vendors
- [x] Other - Describe and note any exceptions to policies above:

CSD Documents authenticity of regulated energy vendors by collecting the Federal Employer ID number for Gas and Electric Vendors. Vendors are required to submit a Standard 2014-Payee Record Data or Government Agency Tax Identification (GATI) form.

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
- [x] Applicants must submit current utility bill
- [x] Data exchange with utilities that verifies:
  - [ ] Account ownership
  - [ ] Consumption
  - [x] Balances
  - [ ] Payment history
  - [x] Account is properly credited with benefit
  - [ ] Other - Describe:
- [x] Centralized computer system/database tracks payments to all utilities
- [x] Centralized computer system automatically generates benefit level

- [x] 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
- [x] Direct payment to households are made in limited cases only
- [x] Procedures are in place to require prompt refunds from utilities in cases of account closure
- [ ] Vendor agreements specify requirements selected above, and provide enforcement mechanism
- [ ] Other - Describe:

Payments to utilities and direct pay letters are reviewed for accuracy.

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
- [x] Clients are relied on for reports of non-delivery or partial delivery
- [x] Two-party checks are issued naming client and vendor
- [x] Direct payment to households are made in limited cases only
- [ ] Vendors are only paid once they provide a delivery receipt signed by the client
- [ ] Conduct monitoring of bulk fuel vendors
- [ ] Bulk fuel vendors are required to submit reports to the Grantee
- [ ] Vendor agreements specify requirements selected above, and provide enforcement mechanism
- [x] Other - Describe:

Please see attchements

17.10. Investigations and Prosecutions

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

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

STATE ADMINISTRATIVE MANUAL

MANAGEMENT MEMO

	NUMBER: **MM 08-11**
SUBJECT: **SAFEGUARDING AGAINST AND RESPONDING TO A BREACH OF SECURITY INVOLVING PERSONAL INFORMATION**	DATE ISSUED: NOVEMBER 6, 2008
	EXPIRES: UNTIL RESCINDED
REFERENCES: CALIFORNIA INFORMATION PRACTICES ACT OF 1977 (CIVIL CODE SECTIONS 1798 ET. SEQ); STATE ADMINISTRATIVE MANUAL (SAM) SECTIONS 5100 AND 5300 THROUGH 5399	ISSUING AGENCY: OFFICE OF INFORMATION SECURITY AND PRIVACY PROTECTION

BACKGROUND AND PURPOSE

Government Code section 11549.3 charges the Office of Information Security and Privacy Protection (OISPP) with responsibility for the creation, updating, and publishing of information security and privacy policies, standards, and procedures directing state agencies to effectively manage security and risk for information and information technology (as defined).

The purpose of this Management Memo (Memo) is to announce a new policy requirement and procedural directive related to a state agency's response to a breach of security involving personal information. It also serves to reinforce state agency responsibilities under existing law and state policy for safeguarding personal information collected, used, maintained, and/or held in custodianship in conjunction with the administration of state programs and services, and to clarify existing security incident management policies and procedures.

Safeguarding against and preventing security breaches involving personal information is essential to maintaining the public's trust in government. Failure to protect personal information can place people in jeopardy in a variety of ways, including identity theft, damage to reputation, and physical injury.

While ultimate responsibility rests with agency heads, every employee plays a role in the protection of personal information. This Memo should receive the widest possible distribution within state agencies, and each organization and individual must understand their specific responsibilities for implementing and complying with information security and privacy requirements and procedures.

GENERAL POLICY

Longstanding policies articulated in State Administrative Manual (SAM) and law, including but not limited to SAM Sections 5100 and 5300 through 5399, and the California Information Practices Act (IPA) of 1977 (Civil Code sections 1798 et seq.), require all state agencies to establish:

- Ongoing data inventory and classification procedures for all records held by the agency. (SAM section 5320.5 and Chapter 1600).
- Administrative, technical, and physical safeguards to appropriately ensure the security (confidentiality, integrity, and availability) of those records and to protect against anticipated threats or hazards that could result in any injury. (SAM sections 5310 and 5325, and Civil Code section 1798.21).
- Rules of conduct for any person involved in the design, development, operation, use, disclosure, maintenance, and destruction of records

containing personal information. (Management Memo 06-12, SAM sections 5310 and 5325, and Civil Code section 1798.20).

- Ongoing training and instruction to any persons involved in the design, development, operation, use, disclosure, maintenance, and destruction of records containing personal information about the rules and consequences of noncompliance. (SAM section 5325 and Civil Code section 1798.20).

- Encryption of portable computing devices and media that contain confidential, personal and sensitive information. (SAM section 5345.2)

- Use of the American National Standards Institute (ANSI) management information standards and the Federal Information Processing Standards (FIPS) in their information management planning and operations. (SAM section 5100). The ANSI standards are national consensus standards that provide guidance on a variety of issues central to the public and industrial sectors. Under the Information Technology Management Reform Act (Public Law 104-106), the Secretary of Commerce approves standards and guidelines that are developed by the National Institute of Standards and Technology (NIST) for Federal computer systems. These standards and guidelines are issued by NIST as FIPS for use government-wide. NIST develops FIPS when there are compelling Federal government requirements such as for security and interoperability and there are no acceptable industry standards or solutions. Guidance documents and requirements for implementing these standards include, without limitation, those related to the validation of cryptographic modules found in encryption products used for the protection of confidential, personal, or sensitive information.

- A process to ensure individuals are notified when a security breach involving their personal information has occurred. (SAM section 5350.3 and Civil Code section 1798.29).

PERSONAL INFORMATION DEFINED

The IPA broadly defines personal information in Civil Code section 1798.3 as "any information that is maintained by the agency that identifies or describes an individual, including, but not limited to, his or her name, social security number, physical description, home address, home telephone number, education, financial matters, and medical or employment history. It includes statements made by or attributed to, the individual."

For purposes of both the legal and state policy breach notification requirements, the subset of personal information as defined in Civil Code section 1798.29, subsections (e) through (f) is used and hereinafter referred to as "notice-triggering" information.

EXISTING SAFEGUARD REQUIREMENTS

The following are particularly important requirements within the existing legal and policy framework that state agencies should already have implemented to safeguard personal information:

1. Rules and Controls Limiting Access. Agencies must ensure that their access control policies and practices support the principle of "least privilege" and appropriate segregation of duties. Least privilege refers to the granting of employee access to personal information or systems based

on a legitimate business need to access the information in the performance of their job duties (refer to Chapter 16, of NIST SP-800-12, An Introduction to Computer Security). Agencies must also implement controls to detect and deter misuse, unauthorized access, or access that exceeds the limits of an employee's authorized access. For example, an employee may, by virtue of his or her job-related duties, have access to all records in a particular database or system, including records that may be held by the agency about those personally known to him or her (e.g., friends, family members, neighbors, etc.). However, that employee should not access those records unless specifically assigned a job-related duty in support of the processing or handling of such records. Agencies must also employ, to the extent practical, technical controls to automate compliance with these requirements. (SAM sections 5100, 5335.1, 5335.2, 5340, and 20050).

2. Employee Training. **Before** permitting access to agency information and information systems, agencies must train all employees (including managers and contracted staff) about their privacy and security responsibilities. Supervisors must also be trained about their role and responsibilities for providing day-to-day instruction, training and supervision of staff regarding their obligation to safeguard personal information. Thereafter, agencies must train employees at least once annually to ensure employees continue to understand their responsibilities. Additional or advanced training should also be provided commensurate with increased responsibilities or changes in duties. Both initial and refresher training must cover acceptable rules of behavior and the consequences when rules are not followed. For agencies implementing telecommuting or telework, and other authorized remote access programs, training must include the rules of such programs. (SAM section 5325 and Civil Code section 1798.20).

3. Signed Acknowledgements. Agencies must ensure that all individuals with authorized access to personal information sign an acknowledgement at least once each year to demonstrate both their receipt of the rules and requisite training, as well as their understanding of the consequences for failure to follow the rules. (SAM section 5325).

4. Written Agreements with Third Parties. Agencies must ensure that when personal information is shared with third parties, it is either specifically permitted or required by law and that a written agreement is executed between the parties. The written agreement is to identify the applicable Federal and state laws, as well as all departmental policies, standards, procedures, and security controls that must be implemented and followed by the third party to adequately protect the information. The agreement must also require the third party, and any of its sub-contractors with whom they are authorized to share the data, to share only the minimum personal information necessary, to securely return or destroy the personal information upon expiration of the contract, and to provide immediate notification to the state agency, and to individuals when appropriate, whenever there is a breach of personal information. (SAM sections 5310 and 5320.3, and Civil Code section 1798.19).

5. Encryption. Agencies must encrypt all confidential, personal, or sensitive data on mobile devices or media whenever that type of information is

authorized for use on such devices or media, using only NIST certified cryptographic modules (FIPS 140-2 validated products). (SAM sections 5100 and 5345.2).

6. Review and Reduce Current Personal Information Holdings. Agencies must review current holdings of all records containing personal information and ensure to the maximum extent practical, such holdings are reduced to the minimum necessary for the proper performance of a documented agency function. (Civil Code section 1798.14).

7. Review Current Forms and Other Methods of Personal Information Collection. Agencies must review all current forms, paper, and any other methods (e.g., online or telephony) used to collect personal information, to ensure the specific authority or authorization to collect such information exists, and appropriate notice is included on or with any such forms. (Civil Code section 1798.17).

8. Eliminate Unnecessary Collection and Use. When in the course of such reviews, the collection of personal information is no longer necessary for an authorized business purpose, agencies shall ensure that its collection is discontinued, and that the forms or any other methods used to collect this information are properly retired, revised, or replaced. (Civil Code section 1798.14).

9. Explore Alternatives to the Use of Social Security Numbers. Many recently enacted privacy laws prohibit the use of Social Security numbers as personal identifiers in state systems, or specifically require truncation when they must be used. All state agencies should participate in government-wide efforts to explore alternatives to the use of Social Security numbers as a personal identifier for both recipients of state programs and services, and state employees. (Civil Code sections 1798.14 and 1798.85).

10. Review Internal Controls to Safeguard Personal Information. Agencies must ensure that their risk management practices and ongoing assessments and reviews include evaluations of the adequacy of controls implemented to safeguard personal information held by the agency, and its contractors, and its other custodians with whom data may be shared. Internal controls include "Information Technology" controls, as well as administrative controls. (SAM sections 5305 to 5305.2). Further, in accordance with the California Financial Integrity and State Manager's Accountability Act (FISMA) of 1983 (Government Code Sections 13400 through 13407), "internal accounting and administrative controls are the methods through which reasonable assurances can be given that measures adopted by state agency heads to safeguard assets, check accuracy and reliability of accounting data, promote operational efficiency, and encourage adherence to prescribed managerial policies are being followed." To ensure the state FISMA requirements are fully complied with, the head of each state agency must conduct an internal review and report on the adequacy of its internal controls by December 31, of each odd numbered year to the Legislature, the State Auditor, the Governor, the Director of the Department of Finance, and the State Library. (SAM section 20060). An agency's review of personal information holdings, personal information collection methods, and internal controls to

safeguard personal information may be completed in conjunction with the agency's biennial FISMA review.

EXISTING INCIDENT MANAGEMENT AND BREACH RESPONSE REQUIREMENTS

Existing state law and state policy require agencies to carry out the following incident management and breach response responsibilities:

1. Promptly investigate incidents involving the improper dissemination of information, or the loss, damage, or misuse of information assets. Incident management includes the formulation and adoption of an incident management plan that provides for the timely assembly of appropriate staff and their response to, reporting on, and recovery from a variety of incidents. Incident management also includes the application of lessons learned, and the determination of, and implementation of appropriate corrective actions to prevent or mitigate the risk of similar occurrences. (SAM sections 5350 and 8643).

2. Immediately report any security incident, including any breach of personal information as defined by Civil Code Section 1798.3 (includes non notice-triggering personal information) to the California Highway Patrol's Emergency Notification and Tactical Alert Center (ENTAC) at (916) 657-8287. (SAM sections 5350.2 and 8643, and Government Code section 14613.7).

3. Notify individuals when a breach of their personal information was, or is reasonably believed to have been acquired by an unauthorized person. Civil Code section 1798.29, sub-sections (e) through (f) specifically require notification to individuals in breaches of unencrypted computerized personal information of a specified type (which is referred to as "notice-triggering" information). Notice-triggering information includes the first name or first initial and last name in combination with any one or more of the following data elements:

    a. Social Security number.
    b. Driver's license number or California Identification Card number.
    c. Account number, credit or debit card number, in combination with any required security code, access code, or password that would permit access to an individual's financial account.
    d. Medical information (as defined).
    e. Health insurance information (as defined).

    While Civil Code section 1798.29 focuses on computerized data elements, the current state policy requires notification when a breach of an individual's personal information involves these same "notice-triggering" data elements or otherwise exposes individuals to substantial risk of harm, regardless of the data medium. (SAM section 5350.3).

4. Prepare and submit a written follow-up Agency Security Incident Report (SIMM 65C form) to OISPP, within ten (10) business days from the date of initial reporting to ENTAC, that describes what occurred, what steps or actions were taken to mitigate the risk of recurrence, and the cost associated with both the incident and any corrective action. (SAM sections 5350.3 and 5360.1).

NEW BREACH RESPONSE REQUIREMENTS AND PROCEDURAL DIRECTIVE

Effective immediately, any breach notification issued by a state agency, or the agency's contractor or custodian, in conjunction with a breach of state owned information assets must be submitted to OISPP for review and approval prior to its dissemination or release to affected individual(s). This process will help ensure consistency and clarity of notifications, as well as the accuracy of the privacy protection procedures and instructions provided in the notification.

While the decision to notify individuals ultimately rests with agency heads; when a breach occurs, agencies must seek guidance from, and consult with, the OISPP, as well as the agency's Legal Office, Information Security Officer and Privacy Officer/Coordinator regarding the means by which individuals will be notified.

In support of this policy, and to ensure state agencies understand their responsibilities for making notification to individuals affected by a breach, OISPP has also issued a new State Information Management Manual (SIMM) document as a procedural directive, entitled *SIMM 65D-Personal Information Breach Notification: Requirements and Decision-Making Criteria for State Agencies*. This document outlines the current breach notification requirements; the requirements for developing a protocol for internal notifications; identifies decision making criteria that must be included in a decision making procedure; and, provides a comprehensive checklist and notification templates to assist state agencies with response to a breach of personal information.

ROLES AND RESPONSIBILITIES

All state agencies and their employees, including contractors, state data custodians, and volunteer service workers, are required to adhere to these policies. Furthermore, state agencies are required to acknowledge the extent to which they are meeting these requirements in their Agency Risk Management and Privacy Program Certification, submitted annually to the OISPP. (SAM sections 5300.3, 5315.1, 5320 through 5320.4, and 5360.1).

"Agencies" includes all state agencies, departments, offices, boards, commissions, institutions, and special organizational entities unless otherwise specifically exempted by law or state policy reference. (SAM section 5300.2).

SAM AND SIMM UPDATES

Changes to the SAM will be forthcoming and will appear in the next update of the SAM. To see the substance of this policy change, you may refer to the following described documents on the OISPP Web site at: www.infosecurity.ca.gov:

1. Advance Copy of Changes to State Administrative Manual sections 5320.2, 5320.3, 5320.5, 5350, and 5350.4
2. SIMM 65D-Security Breach Involving Personal Information: Requirements and Decision Making Criteria for State Agencies

QUESTIONS

Questions regarding this Memo and related documents may be directed to OISPP at (916) 445-5239 or by email at Security@oispp.ca.gov

SIGNATURE

Original signed by Michael Saragoza, Undersecretary
For Rosario Marin, Secretary

_____

Rosario Marin, Secretary
State and Consumer Services Agency

State of California
DEPARTMENT OF COMMUNITY SERVICES AND DEVELOPMENT
CSD 415 (Rev. 06/01/06)

ECIP/HEAP PAYMENT REQUEST AND CONFIRMATION (NON-REGULATED UTILITY COMPANIES ONLY)

To:	Utility Company's Name:	Attention:		
From:	Agency's Name:			Date of Request:
	Mailing Address:	City:	State:	Zip:
	Agency Contact Person:		Phone:	

Instructions to non-regulated utility companies:

1. Once a client's account has been credited, enter the date in the "DATE CREDITED" column.
2. After all accounts have been credited, sign and date the form in the space provided below.
3. Return this form to the agency's contact person at the address identified above.

The following utility payments are being made on behalf of these clients:

	Name and Address of Client	Utility Account #	Payment Amount	Date Credited
1.			$	
2.			$	
3.			$	
4.			$	
5.			$	
6.			$	
7.			$	
8.			$	

UTILITY COMPANY CERTIFICATION

I hereby certify that the referenced accounts were credited in the amounts shown.

Name/Title	Signature of Approval	Date

AGENCY USE ONLY

Total Payments $	Check Number #

ECIP/HEAP PAYMENT REQUEST AND CONFIRMATION
CSD 415 (Rev. 06/01/06)
Instructions

This form will be used by the agency and non-regulated utility company in compliance with Section 2605(b)(7), item (B) of the Low-Income Home Energy Assistance Act of 1981.

1. Agency completes the "To" section of the form entering the non-regulated utility company information.
2. Agency completes the "From" section of the form entering the agency's name, address, and contact person.
3. Agency enters the list of client information, including utility account # and amount of payment.
4. Agency enters "Total Payments" amount and the "Check Number" information which corresponds to data from Step 3.
5. Agency forwards form to identified non-regulated utility company for review and completion.
6. Upon return of form from utility company, Agency reviews and verifies the amount credited for each client.
7. Agency retains this form on file for monitoring purposes.

Contractor's equivalent form is allowed, but must be pre-approved by CSD.

State of California
DEPARTMENT OF COMMUNITY SERVICES AND DEVELOPMENT
CSD 416 (Rev. 06/01/06)

ANNUAL ECIP/HEAP HOME ENERGY SUPPLIER ASSURANCE (NON-REGULATED UTILITY COMPANIES ONLY)

The undersigned home energy supplier hereby agrees and assures to

Agency's Name

that it will comply with the following provisions as federally-mandated under the Low-Income Home Energy Assistance Program in regard to energy fuels and related services provided to eligible households:

1. No household receiving assistance under this program will be treated adversely because of such assistance under applicable provisions of State law or public regulatory requirements;

2. Not to discriminate, either in the cost of the goods supplied or in the services provided, against the eligible household on whose behalf payments are made; and

3. To allow representatives of the agency referenced above, and/or the State, access to records relating to payments to households for the purpose of verification of compliance with these assurances.

Utility Company	
Name and Title (Please Print)	Telephone Number
Authorized Signature	Date

ANNUAL ECIP/HEAP HOME ENERGY SUPPLIER ASSURANCE
(NON-REGULATED UTILITY COMPANIES ONLY)
CSD 416 (Rev. 6/1/06)
Instructions

Use this form to comply with Section 2605(b)(7), items (C) and (D) of the Low-Income Home Energy Assistance Act of 1981.

1. Enter the agency name on the line provided.

2. This form must be provided to the non-regulated utility company for signature.

3. Once the form is returned from the non-regulated utility company, ensure that the form is signed and dated.

4. Retain this form for up to one year from the date of signature.

5. This form must be submitted to the non-regulated utility company for signature on an annual basis.

6. Please refer to http://www.acf.hhs.gov/programs/liheap/guidance/statute/statute.html#Sec2605 for the regulation.

OFFICE OF THE GOVERNOR

May 26, 2011

Ms. Yolanda J. Butler, Ph.D.
Acting Director
Office of Community Services
Administration for Children and Families
U.S. Department of Health and Human Services
370 L'Enfant Promenade, S.W.
Washington, D.C. 20447

Dear Ms. Butler:

Pursuant to 42 U.S.C. 9908(a)(1) and Title 45, Part 96.10(b) of the Code of Federal Regulations, I hereby delegate signature authority to John A. Wagner, Acting Director of the State of California's Department of Community Services and Development, and his successor, for the purposes of submitting the application and certifying compliance with federal assurances relating to the Community Services Block Grant and Low-Income Home Energy Assistant Program.

Sincerely,

Edmund G. Brown Jr.

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

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

Instructions for Certification

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Instructions for Certification

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

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

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

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

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

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

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

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

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

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

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

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

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

Section 19: Certification Regarding Drug-Free Workplace Requirements

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

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

1. By signing and/or submitting this application or grant agreement, the grantee is providing the certification set out below.

2. The certification set out below is a material representation of fact upon which reliance is placed when the agency awards the grant. If it is later determined that the grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.

3. For grantees other than individuals, Alternate I applies.

4. For grantees who are individuals, Alternate II applies.

5. Workplaces under grants, for grantees other than individuals, need not be identified on the certification. If known, they may be identified in the grant application. If the grantee does not identify the workplaces at the time of application, or upon award, if there is no application, the grantee must keep the identity of the workplace(s) on file in its office and make the information available for Federal inspection. Failure to identify all known workplaces constitutes a violation of the grantee's drug-free workplace requirements.

6. Workplace identifications must include the actual address of buildings (or parts of buildings) or other sites where work under the grant takes place. Categorical descriptions may be used (e.g., all vehicles of a mass transit authority or State highway department while in operation, State employees in each local unemployment office, performers in concert halls or radio studios).

7. If the workplace identified to the agency changes during the performance of the grant, the grantee shall inform the agency of the change(s), if it previously identified the workplaces in question (see paragraph five).

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

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

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

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

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

Certification Regarding Drug-Free Workplace Requirements

Alternate I. (Grantees Other Than Individuals)
The grantee certifies that it will or will continue to provide a drug-free workplace by:,

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
(b) Establishing an ongoing drug-free awareness program to inform employees about --
(1)The dangers of drug abuse in the workplace;
(2) The grantee's policy of maintaining a drug-free workplace;
(3) Any available drug counseling, rehabilitation, and employee assistance programs; and
(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will --
(1) Abide by the terms of the statement; and
(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
(e) Notifying the agency in writing, within ten calendar days after receiving notice under paragraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;

(f)Taking one of the following actions, within 30 calendar days of receiving notice under paragraph (d)(2), with respect to any employee who is so convicted -(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f).
(B) The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

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

2389 Gateway Oaks Drive #100 * Address Line 1		
Address Line 2		
Address Line 3		
Sacramento * City	CA * State	95833 * Zip Code

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

Alternate II. (Grantees Who Are Individuals)

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

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

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

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

Section 20: Certification Regarding Lobbying

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

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

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

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

Statement for Loan Guarantees and Loan Insurance

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

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

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

Assurances
(1) use the funds available under this title to-- (A) conduct outreach activities and provide assistance to low income households in meeting their home energy costs, particularly those with the lowest incomes that pay a high proportion of household income for home energy, consistent with paragraph (5); (B) intervene in energy crisis situations; (C) provide low-cost residential weatherization and other cost-effective energy-related home repair;and (D)plan, develop, and administer the State's program under this title including leveraging programs, and the State agrees not to use such funds for any purposes other than those specified in this title; (2) make payments under this title only with respect to-- (A) households in which one or more individuals are receiving-- (i)assistance under the State program funded under part A of title IV of the Social Security Act; (ii) supplemental security income payments under title XVI of the Social Security Act; (iii) food stamps under the Food Stamp Act of 1977; or (iv) payments under section 415, 521, 541, or 542 of title 38, United States Code, or under section 306 of the Veterans' and Survivors' Pension Improvement Act of 1978; or (B) households with incomes which do not exceed the greater of - (i) an amount equal to 150 percent of the poverty level for such State; or

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

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

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

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

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

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

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

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

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

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

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

(8) provide assurances that,

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

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

(9) provide that--

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

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

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

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

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

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

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

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

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

(16) use up to 5 percent of such funds, at its option, to provide services that encourage and enable households to reduce their home energy needs and thereby the need for energy assistance, including needs assessments, counseling, and assistance with energy vendors, and report to the Secretary concerning the impact of such activities on the number of households served, the level of direct benefits provided to those households, and the number of households that remain unserved.

Plan Attachments

PLAN ATTACHMENTS
The following documents must be attached to this application
• **Delegation Letter is required if someone other than the Governor or Chairman Certified this Report.**
• **Heating component benefit matrix, if applicable**
• **Cooling component benefit matrix, if applicable**
• **Minutes, notes, or transcripts of public hearing(s).**

2018 DRAFT State Plan

Attachments

Designation Letter - Included

Heating component benefit matrix – Included

Cooling component benefit matrix – Included

Minutes, notes, or transcripts of public hearing(s) – Not available until after the public hearing

OFFICE OF THE GOVERNOR

May 26, 2011

Ms. Yolanda J. Butler, Ph.D.
Acting Director
Office of Community Services
Administration for Children and Families
U.S. Department of Health and Human Services
370 L'Enfant Promenade, S.W.
Washington, D.C. 20447

Dear Ms. Butler:

Pursuant to 42 U.S.C. 9908(a)(1) and Title 45, Part 96.10(b) of the Code of Federal Regulations, I hereby delegate signature authority to John A. Wagner, Acting Director of the State of California's Department of Community Services and Development, and his successor, for the purposes of submitting the application and certifying compliance with federal assurances relating to the Community Services Block Grant and Low-Income Home Energy Assistant Program.

Sincerely,

Edmund G. Brown Jr.

2018 Benefit Matrix

AGENCY	SERVICE AREA	Poverty I Benefit	Poverty II Benefit	Poverty III Benefit	Poverty IV Benefit
Spectrum Community Services	ALAMEDA	293	235	205	176
El Dorado County Dept of Human Services	ALPINE	355	284	248	213
	EL DORADO	531	424	371	318
	AGENCY TOTAL				
Amador-Tuolumne CAA	AMADOR	407	326	285	244
	CALAVERAS	378	302	264	227
	TUOLUMNE	365	292	255	219
	AGENCY TOTAL				
Butte County CAA	BUTTE	366	293	256	220
Glenn County Human Resource	COLUSA	375	300	262	225
	GLENN	376	301	263	226
	TRINITY	480	384	336	288
	AGENCY TOTAL				
Contra Costa	CONTRA COSTA	381	305	266	228
Del Norte Sr. Center	DEL NORTE	486	389	341	292
Fresno County EOC	FRESNO	378	302	265	227
Redwood CAA	HUMBOLDT	429	343	300	257
Campesinos Unidos, Inc.	IMPERIAL	368	294	258	221
	SAN DIEGO	284	227	199	170
	AGENCY TOTAL				
IMACA	INYO	368	294	258	221
	MONO	358	286	251	215
	AGENCY TOTAL				
CAP of Kern	KERN	357	285	250	214
Kings CAO, Inc.	KINGS	370	296	259	222
North Coast Energy Services	LAKE	425	340	297	255
	MENDOCINO	457	366	320	274
	NAPA	343	274	240	206
	SOLANO	342	274	240	205
	SONOMA	303	242	212	182
	YOLO	329	263	230	197
	AGENCY TOTAL				
Lassen Econ. Dev. Corp	LASSEN	369	295	258	221
Maravilla Foundation	LOS ANGELES	343	275	240	206
PACE	LOS ANGELES	343	275	240	206
Long Beach CSDC	LOS ANGELES	343	275	240	206
CAP of Madera	MADERA	375	300	262	225
Community Action Marin	MARIN	352	281	246	211
Mariposa County Human Services Dept	MARIPOSA	356	285	249	214

Merced County CAA	MERCED	369	295	258	221
T.E.A.C.H.	MODOC	367	294	257	220
Central Coast Energy Services	MONTEREY	302	242	212	181
	SAN MATEO	344	275	241	207
	SANTA CRUZ	341	272	238	204
	AGENCY TOTAL				
Project GO, Inc.	NEVADA	535	428	375	321
	PLACER	472	378	330	283
	AGENCY TOTAL				
CAP of Orange County	ORANGE	332	266	233	199
Plumas County. CDC	PLUMAS	327	262	229	196
	SIERRA	360	288	252	216
	AGENCY TOTAL				
CAP of Riverside County	RIVERSIDE	378	302	264	227
Community Resource Project	SACRAMENTO	353	282	247	212
	SUTTER	387	309	271	232
	YUBA	379	304	266	228
	AGENCY TOTAL				
San Benito County Dept. of CSWD	SAN BENITO	355	284	248	213
CAP of San Bernardino County	SAN BERNARDINO	335	268	235	201
MAAC	SAN DIEGO	284	227	199	170
EOC San Francisco	SAN FRANCISCO	234	187	163	140
San Joaquin County Dept. of ACS	SAN JOAQUIN	381	305	267	228
CAP of San Luis Obispo County	SAN LUIS OBISPO	307	246	215	184
CAC of Santa Barbara County	SANTA BARBARA	301	241	211	181
Sacred Heart Community Service	SANTA CLARA	322	258	226	193
SHHIP	SHASTA	463	370	324	278
	TEHAMA	392	314	275	235
	AGENCY TOTAL				
Great Northern Services	SISKIYOU	466	373	326	280
CVOC	STANISLAUS	436	349	305	262
C-SET	TULARE	353	283	247	212
Community Action of Ventura County	VENTURA	329	263	230	197