



DEPARTMENT OF ECONOMIC SECURITY

Your Partner For A Stronger Arizona

Douglas A. Ducey  
Governor

Michael Traylor  
Director

To: Community Action Network  
From: Frank Migali, Deputy Assistant Director of Community Service Programs  
Division of Aging and Adult Services  
Subject: State Fiscal Year (SFY) 2020: Allocations Estimates: Community Service Block Grant (CSBG), and Low-Income Home Energy Assistance Program (LIHEAP), Temporary Assistance for Needy Families (TANF), Social Services Block Grant (SSBG), and Neighbors Helping Neighbors (NHN). CSBG – Discretionary Awards, CAPS General and LIHEAP Policy Updates; SFY 2020 Community Action Programs and Services (CAPS) Income Eligibility Thresholds; LIHEAP State Plan Draft and Change Matrices.

The following ALERTS are attached:

<u>ALERT</u>	<u>FUND SOURCE/TYPE</u>
ALERT SFY 20 A	Allocations: Community Service Block Grant (CSBG), SFY 2020 – Allocations Estimates, Discretionary Awards
ALERT SFY 20 B	Allocations: Low-Income Home Energy Assistance Program (LIHEAP)
ALERT SFY 20 E	Allocations: Temporary Assistance for Needy Families (TANF)
ALERT SFY 20 G	Allocations: Social Services Block Grant (SSBG)
ALERT SFY 20 I	Allocations: Neighbors Helping Neighbors (NHN)
ALERT SFY-20-J	Community Action Programs and Services CAPS Policy Updates
ALERT SFY-20-K	Information: SFY 2020 CAPS Income Eligibility Thresholds
ALERT SFY-19-L	State Plans: LIHEAP State Plan Draft for FFY 2020, With Change Matrices and Request for Comments

ALERTS are available on the DAAS Website using the link: <https://www.azdes.gov/daas/alerts>. Scroll down to ALERTS at the bottom of the Webpage and select the respective ALERT. Community Action Programs and Services Policies and Procedures are available on the DAAS Website at the following link: <https://www.azdes.gov/daas/policy>.

Should you have any questions, please contact your assigned Contract Specialist or Edward Chien at (602) 542-3269 or [echien@azdes.gov](mailto:echien@azdes.gov).

cc: Priscilla Kadi, Frank Migali, Cynthia Saverino, Edward Chien, Shelley Morgan, Diana Gravett, Ben Kauffman, Bridget Casey, Matt Lecrone, and DAAS FSA Team, DAAS file



**Community Services Block Grant (CSBG)  
for SFY 2020**

**Initial Allocations Estimate**

The Division of Aging and Adult Services (DAAS) is estimating an initial allocation of \$5,255,905 for Community Services Block Grant (CSBG) funding for State Fiscal Year (SFY) 2020. Per the CSBG Act, ninety percent of the federal allocation is allotted to CSBG eligible entities.

The final Federal Fiscal Year (FFY) 2020 CSBG appropriation has not been determined. Consequently, level funding estimates have been used to determine SFY 2020 initial contract allocations. Funds will be distributed based on the following factors: number of individuals at or below 125 percent of the Federal Poverty Level, urban or rural status, individuals under 50 percent of the Federal Poverty Level considered extreme poverty and a minimum funding variable. The sources used for the poverty data were the 2013-2017 American Community Survey 5-Year Estimates and the 2010 United States Census for the rural factors, respectively.

Poverty Factor	Rural Factor	Extreme Poverty	Tribal Adjustment	Migrant/ Seasonal Farmworker Adjustment	Minimum Funding Variable
90%	5%	5%	Yes	2%	\$150,000

CSBG Funds are allocated to designated Community Action Agencies.

Agency	Allocation
City of Glendale Community Action Program	\$ 206,768
City of Phoenix Human Services Department	\$1,432,224
Coconino County Community Services Department	\$ 150,000
Community Action Human Resources Agency	\$ 316,709
Gila County Department of Community Services	\$ 150,000
Maricopa County Human Services Department	\$ 870,222
Mesa Community Action Network	\$ 321,310
Northern Arizona Council of Governments	\$ 271,486
Pima County Community Action Agency	\$ 789,659
Southeastern Arizona Community Action Program	\$ 200,372
Western Arizona Council of Governments	\$ 442,037
<b>Subtotal</b>	<b>\$5,150,787</b>
Portable Practical Educational Preparation, Inc.	\$ 105,118
<b>Total</b>	<b>\$5,255,905</b>

Should you have any questions or require additional information, please contact Edward Chien, Community Action Program Manager, at 602-542-3269 or [echien@azdes.gov](mailto:echien@azdes.gov).



**Community Services Block Grant (CSBG)  
for SFY 2020**

**CSBG Discretionary Funds**

The following CSBG discretionary funds for SFY 2020. DAAS has allocated \$331,548 to the following eligible entities for Community Action Special Projects, and to Wildfire, Inc. (formerly Arizona Community Action Association), for coordination among eligible entities, and providing technical assistance.

<b>Agency</b>	<b>Priority Area</b>	<b>Allocation</b>
Wildfire Incorporated (ACAA).	Statewide Coordination, Training and Technical Assistance Among Eligible Entities and DES/DAAS	\$ 178,400
Mesa Community Action Network (MesaCAN)	Special Project: Economic development and enhancement of Assets to Opportunity program	\$ 50,000
Portable Practical Education Preparation (PPEP)	Special Project: YouthBuild	\$ 30,000
Northern Arizona Council of Governments	Special Project: Northeastern Arizona Community Resource Network	\$ 55,648
Coconino County	Special Project: Keys to Prosperity program	\$ 17,500
	<b>Total</b>	<b>\$ 331,548</b>

**Discretionary funds must be fully expended by June 30, 2020**

Should you have any questions or require additional information, please contact Edward Chien, Community Action Program Manager, at 602-542-3269 or [echien@azdes.gov](mailto:echien@azdes.gov).

**CSBG  
SFY 2020**

Community Action Network Funding Formula  
Proposed Funding Components  
Fund Source - CSBG (Funding \$5,255,905)

SFY 20-A

District	Agency	Served	5% Funds distributed based on urban or rural status	5% Rural Population Internal Percentage	5% Balance Distributed Based on Extreme Poverty	5% Extreme Poverty	2010 census % of persons @ or below 125% of poverty	90% of service \$ distributed based on % of persons @ or below 125% of poverty	% of Total Allocation	Total Allocation Using Rural and Poverty Factors	Minimum Funding Variable	\$150,000	Adjusted for \$ 150,000 Minimum Funding Variable	12 Month Total Allocation	Revised 12 Month Total Allocation
District 1	MesaCAN	Maricopa/Mesa	\$ -	0.00%	6.45%	\$ 16,615	6.80%	\$ 315,028	6.31%	\$ 331,643	\$ -	\$ 331,643	\$ (10,333)	\$ 321,310	321,310.00
	CITY OF GLENDALE	Maricopa/Glendale	\$ -	0.00%	4.48%	\$ 11,546	4.35%	\$ 201,872	4.06%	\$ 213,418	\$ -	\$ 213,418	\$ (6,650)	\$ 206,768	206,768.00
	CITY OF PHOENIX	Maricopa/Phx	\$ -	0.00%	31.21%	\$ 80,390	30.15%	\$ 1,397,892	28.13%	\$ 1,478,282	\$ -	\$ 1,478,282	\$ (46,058)	\$ 1,432,224	1,432,224.00
	MARICOPA COUNTY	Maricopa/balance	\$ 11,703	4.54%	18.89%	\$ 48,649	18.07%	\$ 837,856	17.09%	\$ 898,208	\$ -	\$ 898,208	\$ (27,986)	\$ 870,222	870,222.00
District 2	PIMA COUNTY														
		Pima	\$ 9,251	3.59%	16.36%	\$ 42,142	16.47%	\$ 763,661	15.51%	\$ 815,054	\$ -	\$ 815,054	\$ (25,395)	\$ 789,659	789,659.00
District 3	COCONINO COUNTY														
		Coconino	\$ 17,030	6.61%	1.91%	\$ 4,931	1.74%	\$ 80,579	1.95%	\$ 102,540	\$ 47,460	\$ -	\$ -	\$ 150,000	150,000.00
	NACOG	Totals	\$ 46,892			\$ 11,455	4.79%	\$ 221,870	5.33%	\$ 280,217	\$ -	\$ 280,217	\$ (8,731)	\$ 271,486	271,486.00
		Apache	\$ 3,197	1.24%	0.25%	\$ 649	0.33%	\$ 15,129		\$ 18,975		\$ 6,875	\$ (591)	\$ 18,384	18,384.00
		Yavapai	\$ 30,131	11.70%	2.78%	\$ 7,163	3.08%	\$ 142,565		\$ 179,859		\$ 64,225	\$ (5,604)	\$ 174,255	174,255.00
	Navajo	\$ 13,564	5.27%	1.41%	\$ 3,643	1.38%	\$ 64,176		\$ 81,383		\$ 29,000	\$ (2,536)	\$ 78,847	78,847.00	
District 4	WACOG	Totals	\$ 76,662			\$ 16,866	7.82%	\$ 362,725	8.68%	\$ 456,253	\$ -	\$ 456,253	\$ (14,216)	\$ 442,037	442,037.00
		La Paz	\$ 3,663	1.42%	0.28%	\$ 724	0.37%	\$ 17,331		\$ 21,718		\$ 4,800	\$ (677)	\$ 21,041	21,041.00
		Mohave	\$ 34,240	13.30%	3.22%	\$ 8,293	3.49%	\$ 162,006		\$ 204,539		\$ 44,800	\$ (6,373)	\$ 198,166	198,166.00
		Yuma	\$ 38,759	15.05%	3.05%	\$ 7,849	3.96%	\$ 183,388		\$ 229,996		\$ 50,400	\$ (7,166)	\$ 222,830	222,830.00
District 5	CAHRA	Pinal	\$ 54,438	21.14%	5.78%	\$ 14,883	5.56%	\$ 257,573	6.22%	\$ 326,894	\$ -	\$ 326,894	\$ (10,185)	\$ 316,709	316,709.00
	GILA COUNTY														
		Gila	\$ 6,959	2.70%	0.61%	\$ 1,582	0.71%	\$ 32,920	0.79%	\$ 41,461	\$ 108,539	\$ -	\$ -	\$ 150,000	150,000.00
District 6	SEACAP	Totals	\$ 34,604			\$ 8,480	3.53%	\$ 163,732	3.93%	\$ 206,816	\$ -	\$ 206,816	\$ (6,444)	\$ 200,372	200,372.00
		Cochise	\$ 18,988	7.37%	1.94%	\$ 5,004	1.94%	\$ 89,842		\$ 113,834		\$ 55,000	\$ (3,547)	\$ 110,287	110,287.00
		Graham	\$ 4,294	1.67%	0.53%	\$ 1,356	0.44%	\$ 20,318		\$ 25,968		\$ 12,600	\$ (809)	\$ 25,159	25,159.00
		Greenlee	\$ 1,291	0.50%	0.12%	\$ 305	0.13%	\$ 6,111		\$ 7,707		\$ 3,700	\$ (240)	\$ 7,467	7,467.00
		Santa Cruz	\$ 10,031	3.89%	0.70%	\$ 1,815	1.02%	\$ 47,461		\$ 59,307		\$ 28,700	\$ (1,848)	\$ 57,459	57,459.00
<b>Totals</b>			\$ 257,539	100%	100%	\$ 257,539	100.00%	\$ 4,635,708	98.00%	\$ 5,150,787	\$ 155,998	\$ 5,006,785	\$ (155,998)	\$ 5,150,787	5,150,787.00
										PPEP	2.00%	\$ 105,118		\$ 105,118	105,118.00
										Totals	100.00%	\$ 5,255,905		\$ 5,255,905	5,255,905.00
GRAND TOTALS			\$ 257,539.00			\$ 257,539.00		\$ 4,635,708.00		\$ 5,150,787.00		\$ 5,006,785.00		\$ 5,255,905.00	
			\$ -			\$ -		\$ -		\$ -		\$ -		\$ -	

PPEP 105,118.00  
5% Rural 257,539.00  
5% Extreme Poverty 257,539.00  
90% Poverty 4,635,708.00  
Total 5,255,905.00

\$ 5,150,786.00  
\$ 257,539.00  
\$ 257,539.00

Less PPEP  
Rural  
Extreme Poverty

Funds less PPEP 5,150,787.00

# CSBG Discretionary SFY 2020

Community Action Network Funding Formula  
Proposed Funding Components  
Fund Source - CSBG Discretionary (Funding \$331,548)

ALERT 20-A

District	Agency	Served	FY 2020 Initial Allocation	Increase/ (Decrease)	FY 2020 Revised Allocation
<b>District 1</b>					
	MesaCAN				
		Maricopa/Mesa	\$ 50,000	\$ -	\$ 50,000
	CITY OF GLENDALE				
		Maricopa/Glendale	\$ -	\$ -	\$ -
	CITY OF PHOENIX				
		Maricopa/Phx	\$ -	\$ -	\$ -
	MARICOPA COUNTY				
		Maricopa/balance	\$ -	\$ -	\$ -
<b>District 2</b>					
	PPEP				
		Pima	\$ 30,000	\$ -	\$ 30,000
<b>District 3</b>					
	COCONINO COUNTY				
		Coconino	\$ 17,500	\$ -	\$ 17,500
	NACOG	Totals	\$ 55,648	\$ -	\$ 55,648
		Apache	\$ -	\$ -	\$ -
		Yavapai	\$ -	\$ -	\$ -
		Navajo	\$ -	\$ -	\$ -
<b>District 4</b>					
	WACOG	Totals	\$ -	\$ -	\$ -
		La Paz	\$ -	\$ -	\$ -
		Mohave	\$ -	\$ -	\$ -
		Yuma	\$ -	\$ -	\$ -
<b>District 5</b>					
	CAHRA				
		Pinal	\$ -	\$ -	\$ -
	GILA COUNTY				
		Gila	\$ -	\$ -	\$ -
<b>District 6</b>					
	SEACAP	Totals	\$ -	\$ -	\$ -
		Cochise	\$ -	\$ -	\$ -
		Graham	\$ -	\$ -	\$ -
		Greenlee	\$ -	\$ -	\$ -
		Santa Cruz	\$ -	\$ -	\$ -
<b>Statewide</b>					
	WILDFIRE	Statewide	\$ 178,400	\$ -	\$ 178,400
		<b>Totals</b>	<b>\$ 331,548</b>	<b>\$ -</b>	<b>\$ 331,548</b>
		FY 2020 Total Allocated			<b>\$ 331,548</b>



Division of Aging and Adult Services  
ALERT

SFY-20-B

**Low Income Home Energy Assistance Program (LIHEAP)  
for SFY 2020**

The Division of Aging and Adult Services (DAAS) estimates it will allocate **\$27,242,547** in LIHEAP funding to contracted provider agencies for State Fiscal Year (SFY) 2020.

The final SFY 2020 LIHEAP appropriation has not been determined. Consequently, level funding estimates have been used to determine SFY 2020 initial contract allocations. The initial allocation is distributed based on the following factors: number of individuals at or below 125 percent of the Federal Poverty Level in the agency service area, and urban or rural status. The sources used for the poverty and rural factors were the 2013-2017 American Community Survey 5-Year Estimates and the 2010 United States Census, respectively. Per federal law, ten percent of federal LIHEAP funds are used to administer the program. The administrative budget detail is included in the attached document, SFY 20-B.

The following initial contract allocations are being made to designated LIHEAP providers.

<b>Agency</b>	<b>Allocation</b>
City of Glendale Community Action Program	\$ 962,329
City of Phoenix Human Services Department	\$ 6,663,773
Coconino County Community Services Department	\$ 464,207
Community Action Human Resources Agency	\$ 1,379,328
Gila County Division of Health and Community Services	\$ 189,651
Maricopa County Human Services Department	\$ 3,962,132
Mesa Community Action Network	\$ 1,501,744
Northern Arizona Council of Governments	\$ 1,278,168
Pima County Community Action Agency	\$ 3,561,229
Southeastern Arizona Community Action Program	\$ 943,240
Western Arizona Council of Governments	\$ 2,031,464
<b>Subtotal</b>	<b>\$22,937,265</b>
Arizona Department of Housing - Weathertization	\$ 4,155,282
Tohono O'odham Nation	\$ 125,000
<b>Subtotal</b>	<b>\$27,217,547</b>
Wildfire, Inc. – Leveraging Activities	\$ 25,000
<b>Total</b>	<b>\$27,242,547</b>

**These funds must be fully expended by June 30, 2020.**

The LIHEAP funds include provider administration, vouchers, and Assurance 16. Please note that Assurance 16 funds are to be used for services that encourage and enable households to reduce their home energy needs and, thereby, the need for energy assistance. These activities include needs assessments, counseling, and providing energy education.

An allocation of \$25,000 is made to Wildfire Inc., for Leveraging Activities allowed under the governing legislation.



Division of Aging and Adult Services  
ALERT

SFY-20-B

**Low Income Home Energy Assistance Program (LIHEAP)  
for SFY 2020**

**Weatherization**

There is a 15 percent set-aside from the LIHEAP allocation for low-income residential weatherization to be coordinated through the Arizona Department of Housing. One percent, or \$41,553, of the total weatherization allocation is approved for training purposes.

Should you have any questions or require additional information, please contact Edward Chien, Community Action Program Manager, at 602-542-3269 or [echien@azdes.gov](mailto:echien@azdes.gov).

# LIHEAP

Community Action Network Funding Formula  
Proposed Funding Components  
Fund Source - LIHEAP (Funding \$27,242,547)

SFY 2020

SFY 20-B

District	Agency	Served	5%		95%		2010 census % of	% of Total	12 Month Total	FY 2020 Hold	SFY 2020
			Funds	% of Allocation	Funds distributed						
<b>District 1</b>	CITY OF GLENDALE	Maricopa/Glendale		0.00%	\$ 962,329	4.42%	4.20%	\$ 962,329	\$ -	\$ 962,329	
	CITY OF PHOENIX	Maricopa/Phx		0.00%	\$ 6,663,773	30.58%	29.05%	\$ 6,663,773	\$ -	\$ 6,663,773	
	MARICOPA COUNTY	Maricopa/balance	\$ 40,031	3.49%	\$ 3,922,101	18.00%	17.27%	\$ 3,962,132	\$ -	\$ 3,962,132	
	MesaCAN	Maricopa/Mesa		0.00%	\$ 1,501,744	6.89%	6.55%	\$ 1,501,744	\$ -	\$ 1,501,744	
<b>District 2</b>	PIMA COUNTY	Pima	\$ 22,339	1.95%	\$ 3,538,890	16.24%	15.53%	\$ 3,561,229	\$ -	\$ 3,561,229	
<b>District 3</b>	COCONINO COUNTY	Coconino	\$ 80,087	6.98%	\$ 384,120	1.76%	2.02%	\$ 464,207	\$ -	\$ 464,207	
	NACOG	Totals	\$ 220,514		\$ 1,057,654		5.57%	\$ 1,278,168	\$ -	\$ 1,278,168	
		Apache	\$ 15,036	1.31%	\$ 72,119	0.33%		\$ 87,155			
		Navajo	\$ 63,784	5.56%	\$ 305,926	1.40%		\$ 369,710			
	Yavapai	\$ 141,694	12.35%	\$ 679,609	3.12%		\$ 821,303				
<b>District 4</b>	WACOG	Totals	\$ 350,475		\$ 1,680,989		8.86%	\$ 2,031,464	\$ -	\$ 2,031,464	
		La Paz	\$ 8,887	0.77%	\$ 42,626	0.20%		\$ 51,513			
		Mohave	\$ 161,016	14.04%	\$ 772,284	3.54%		\$ 933,300			
		Yuma	\$ 180,572	15.74%	\$ 866,079	3.97%		\$ 1,046,651			
<b>District 5</b>	CAHRA	Pinal	\$ 237,967	20.75%	\$ 1,141,361	5.24%	6.01%	\$ 1,379,328	\$ -	\$ 1,379,328	
	GILA COUNTY	Gila	\$ 32,719	2.85%	\$ 156,932	0.72%	0.83%	\$ 189,651	\$ -	\$ 189,651	
<b>District 6</b>	SEACAP	Totals	\$ 162,731		\$ 780,509		4.11%	\$ 943,240	\$ -	\$ 943,240	
		Cochise	\$ 89,293	7.79%	\$ 428,276	1.97%		\$ 517,569			
		Graham	\$ 20,194	1.76%	\$ 96,855	0.44%		\$ 117,049			
		Greenlee	\$ 6,073	0.53%	\$ 29,129	0.13%		\$ 35,202			
		Santa Cruz	\$ 47,171	4.11%	\$ 226,249	1.04%		\$ 273,420			
<b>Totals</b>			\$ 1,146,863	100%	\$ 21,790,402	100%	100%	\$ 22,937,265	\$ -	\$ 22,937,265	

Wildfire - Leveraging	\$ 25,000	\$ 25,000
AZ Dept. of Housing (ADOH)	\$ 4,155,282	\$ 4,155,282
Tohono O'odham	\$ 125,000	\$ 125,000
<b>Total (Tohono/ACAA/ADOH)</b>	<b>\$ 4,305,282</b>	<b>\$ 4,305,282</b>
<b>Total</b>	<b>\$ 27,242,547</b>	<b>\$ - \$ 27,242,547</b>

<b>LIHEAP</b>		
5% Rural	\$ 1,146,863.00	\$ 1,146,863
95% Poverty	\$ 21,790,402.00	\$ 21,790,402
Tohono O'odham	\$ 125,000.00	\$ 125,000
Wildfire - Leveraging	\$ 25,000.00	\$ 25,000
AZ Dept. of Housing	\$ 4,155,282.00	\$ 4,155,282
	<b>\$ 22,937,265.00</b>	<b>\$ 22,937,265</b>
<b>Total</b>	<b>\$ 27,242,547.00</b>	<b>\$ - \$ 27,242,547</b>

\$22,937,265

Diff \$ - \$ -

**LIHEAP Admin/Voucher Split for 2020 Initial Allocation**

Contractor	Initial LIHEAP Amount	Percent of Total	AFR Amounts			Revised Totals	Admin	A-16
			Provider Admin	Vouchers	A-16			
MesaCAN	\$ 1,501,744	6.55%	106,230.00	1,303,090.00	92,424.00	1,501,744.00	7.1%	6.2%
City of Glendale	\$ 962,329	4.20%	68,073.00	835,030.00	59,226.00	962,329.00	7.1%	6.2%
City of Phoenix	\$ 6,663,773	29.05%	471,379.00	5,782,277.00	410,117.00	6,663,773.00	7.1%	6.2%
Maricopa County	\$ 3,962,132	17.27%	280,271.00	3,438,014.00	243,847.00	3,962,132.00	7.1%	6.2%
Pima Co.	\$ 3,561,229	15.53%	251,912.00	3,090,144.00	219,173.00	3,561,229.00	7.1%	6.2%
Coconino County	\$ 464,207	2.02%	32,837.00	402,801.00	28,569.00	464,207.00	7.1%	6.2%
NACOG	\$ 1,278,168	5.57%	90,414.00	1,109,090.00	78,664.00	1,278,168.00	7.1%	6.2%
WACOG	\$ 2,031,464	8.86%	143,701.00	1,762,738.00	125,025.00	2,031,464.00	7.1%	6.2%
CAHRA	\$ 1,379,328	6.01%	97,570.00	1,196,868.00	84,890.00	1,379,328.00	7.1%	6.2%
Gila Co.	\$ 189,651	0.83%	13,416.00	164,563.00	11,672.00	189,651.00	7.1%	6.2%
SEACAP	\$ 943,240	4.11%	66,722.00	818,467.00	58,051.00	943,240.00	7.1%	6.2%
	\$ 22,937,265	100.00%	1,622,525	19,903,082	1,411,658	22,937,265.00	13.2%	
			1,622,525	19,903,082	1,411,658	22,937,265.00		
AZ Dept. of Housing	\$ 4,155,282		338,798	\$ 3,816,484		\$ 4,155,282	8.2%	
<b>TOTALS</b>	<b>\$ 27,092,547</b>		<b>1,961,323</b>	<b>23,719,566</b>		<b>\$ 27,092,547</b>	<b>7.2%</b>	
Tribal (Tohono)	125,000		(Provider Admin = 7,500; Vouchers = 117,500)					
Wildfire	25,000							
<b>Allocation (3.15.19 Alert)</b>	<b>\$ 27,242,547</b>							
	\$ -							

Provider Admin for CAAs - \$1,622,525; Provider Admin for AZ Dept. of Housing - \$338,798; A-16 for CAAs - \$1,411,658



Division of Aging and Adult Services  
ALERT

SFY-20-E

**Temporary Assistance for Needy Families (TANF)  
for SFY 2020**

The Division of Aging and Adult Services (DAAS) estimates the Temporary Assistance for Needy Families (TANF) State Fiscal Year (SFY) 2020 appropriation will be \$3,724,000. The final SFY 2020 TANF appropriation has not been determined. Consequently, level funding estimates have been used to determine SFY 2020 contract allocations. When DAAS receives the final SFY 2020 appropriation for Community and Emergency Services, TANF allocations may be adjusted accordingly. If funding levels change, a new ALERT will be issued.

Funds will be distributed based on the following factors: number of individuals at or below 125 percent of the Federal Poverty Level, low-income families with children under 18, urban or rural status, and a minimum funding variable. The data sources used for the poverty and low-income families with children under 18 years of age was the 2013-2017 American Community Survey 5-Year Estimates and the 2010 United States Census for the rural factors, respectively.

The following initial contract allocations are being made to designated Community Action Agencies and the Limited Purpose Agency serving Migrant and Seasonal Farm Workers for SFY 2020.

<b>Agency</b>	<b>Allocation</b>
City of Glendale Community Action Program	\$ 150,000
City of Phoenix Human Services Department	\$ 985,710
Coconino County Community Services Department	\$ 150,000
Community Action Human Resources Agency	\$ 216,673
Gila County Department of Community Services	\$ 150,000
Maricopa County Human Services Department	\$ 593,324
Mesa Community Action Network	\$ 221,232
Northern Arizona Council of Governments	\$ 186,134
Pima County Community Action Agency	\$ 540,565
Southeastern Arizona Community Action Program	\$ 150,000
Western Arizona Council of Governments	\$ 305,882
<b>Subtotal</b>	<b>\$3,649,520</b>
Portable, Practical Education Preparation	\$ 74,480
<b>Total</b>	<b>\$3,724,000</b>

**These funds must be fully expended by June 30, 2020.**

Should you have any questions or require additional information, please contact Edward Chien, Community Action Program Manager, at 602-542-3269 or [echien@azdes.gov](mailto:echien@azdes.gov).





Division of Aging and Adult Services  
ALERT

SFY-20-I

**Neighbors Helping Neighbors (NHN)  
for SFY 2020**

The Division of Aging and Adult Services (DAAS) has received \$40,000 in Neighbors Helping Neighbors (NHN) funds for provision of utility assistance services in State Fiscal Year (SFY) 2020. This funding comes from taxpayers electing to contribute to NHN through the tax check-off box on Arizona State Income Tax forms. NHN funds are utilized in the same manner as Low Income Home Energy Assistance Program (LIHEAP) Base Funds.

Funds will be distributed based on the following factors: number of individuals at or below 125 percent of the Federal Poverty Level and urban or rural status. The sources used for the poverty and rural factors were the 2017 Five-Year American Community Survey (ACS) and the 2010 United States Decennial Census, respectively.

The following initial contract allocations are being made to the respective contractors:

<b>Agency</b>	<b>Allocation</b>
City of Glendale Community Action Program	\$ 1,678
City of Phoenix Human Services Department	\$ 11,621
Coconino County Community Services Department	\$ 810
Community Action Human Resources Agency	\$ 2,405
Gila County Division of Health and Community Services	\$ 331
Maricopa County Human Services Department	\$ 6,910
Mesa Community Action Network	\$ 2,619
Northern Arizona Council of Governments	\$ 2,229
Pima County Community Action Agency	\$ 6,210
Southeastern Arizona Community Action Program	\$ 1,645
Western Arizona Council of Governments	\$ 3,542
<b>Total</b>	<b>\$ 40,000</b>

**These funds must be fully expended by June 30, 2020.**

Should you have any questions or require additional information, please contact Edward Chien, Community Action Program Manager, at 602-542-3269 or [echien@azdes.gov](mailto:echien@azdes.gov).

**NHN  
SFY 2020**

**Community Action Network Funding Formula  
Proposed Funding Components  
Fund Source - NHN (Funding \$40,000)**

**SFY 20-1**

District	Agency	Served	5%		95%		% of Total Allocation	12 Month Total Allocation	SFY 2020 Allocation
			Funds distributed based on urban or rural status	% of Allocation based on urban/rural status	Funds distributed based on % of persons @ or below 125% of poverty	2010 census % of persons @ or below 125% of poverty			
<b>District 1</b>	CITY OF GLENDALE	Maricopa/Glendale	\$ -	0.00%	\$ 1,678	4.42%	4.20%	\$ 1,678	\$ 1,678
	CITY OF PHOENIX	Maricopa/Phx	\$ -	0.00%	\$ 11,621	30.58%	29.05%	\$ 11,621	\$ 11,621
	MARICOPA COUNTY	Maricopa/balance	\$ 70	3.49%	\$ 6,840	18.00%	17.27%	\$ 6,910	\$ 6,910
	MesaCAN	Maricopa/Mesa	\$ -	0.00%	\$ 2,619	6.89%	6.55%	\$ 2,619	\$ 2,619
<b>District 2</b>	PIMA COUNTY	Pima/balance	\$ 39	1.95%	\$ 6,171	16.24%	15.53%	\$ 6,210	\$ 6,210
<b>District 3</b>	COCONINO COUNTY	Coconino	\$ 140	6.98%	\$ 670	1.76%	2.02%	\$ 810	\$ 810
	NACOG	Totals	\$ 385		\$ 1,844		5.57%	\$ 2,229	\$ 2,229
		Apache	\$ 26	1.31%	\$ 126	0.33%		\$ 152	
		Navajo	\$ 111	5.56%	\$ 534	1.40%		\$ 645	
		Yavapai	\$ 247	12.35%	\$ 1,185	3.12%		\$ 1,432	
<b>District 4</b>	WACOG	Totals	\$ 611		\$ 2,931		8.86%	\$ 3,542	\$ 3,542
		La Paz	\$ 15	0.77%	\$ 74	0.20%		\$ 89	
		Mohave	\$ 281	14.04%	\$ 1,347	3.54%		\$ 1,628	
		Yuma	\$ 315	15.74%	\$ 1,510	3.97%		\$ 1,825	
<b>District 5</b>	CAHRA	Pinal	\$ 415	20.75%	\$ 1,990	5.24%	6.01%	\$ 2,405	\$ 2,405
	GILA COUNTY	Gila	\$ 57	2.85%	\$ 274	0.72%	0.83%	\$ 331	\$ 331
<b>District 6</b>	SEACAP	Totals	\$ 284		\$ 1,361		4.11%	\$ 1,645	\$ 1,645
		Cochise	\$ 156	7.79%	\$ 747	1.97%		\$ 903	
		Graham	\$ 35	1.76%	\$ 169	0.44%		\$ 204	
		Greenlee	\$ 11	0.53%	\$ 51	0.13%		\$ 62	
		Santa Cruz	\$ 82	4.11%	\$ 394	1.04%		\$ 476	
<b>Totals</b>			\$ 2,000	100%	\$ 38,000	100%	100%	\$ 40,000	\$ 40,000

**NHN**

5% Rural	\$ 2,000.00	\$ 2,000
95% Poverty	\$ 38,000.00	\$ 38,000
<b>Total</b>	<b>\$ 40,000.00</b>	<b>\$ 40,000</b>

<b>DIVISION OF AGING &amp; ADULT SERVICES</b>							
<b>CONTRACT OBLIGATION FOR SFY 2020</b>							
<b>STATE TOTAL</b>	<b>SFY 2019 CARRYOVER</b>	<b>INITIAL SFY 2020 ALERTS</b>	<b>TOTAL SFY 2020 AWARDS</b>	<b>INCREASE/ (DECREASE) SFY 2020 ALERTS</b>	<b>REVISED TOTAL SFY 2020 AWARDS</b>		
1. CSBG	\$ -	\$ 5,255,905	\$ 5,255,905	\$ -	\$ 5,255,905		
2. CSBG Discretionary	\$ -	\$ 331,548	\$ 331,548	\$ -	\$ 331,548		
3. LIHEAP Vouchers	\$ -	\$ 23,837,066	\$ 23,837,066	\$ -	\$ 23,837,066		
4. LIHEAP Provider Admin	\$ -	\$ 1,993,823	\$ 1,993,823	\$ -	\$ 1,993,823		
5. LIHEAP A-16	\$ -	\$ 1,411,658	\$ 1,411,658	\$ -	\$ 1,411,658		
6. TANF	\$ -	\$ 3,724,000	\$ 3,724,000	\$ -	\$ 3,724,000		
7. SSBG	\$ -	\$ 1,331,672	\$ 1,331,672	\$ -	\$ 1,331,672		
8. NHN	\$ -	\$ 40,000	\$ 40,000	\$ -	\$ 40,000		
<b>TOTAL</b>	<b>\$ -</b>	<b>\$ 37,925,672</b>	<b>\$ 37,925,672</b>	<b>\$ -</b>	<b>\$ 37,925,672</b>		
<b>NOTE: The following list reflects the most recent ALERTS issued to support the amounts reflected:</b>							
<b>ALERT</b>		<b>FUND SOURCE</b>			<b>DATE ISSUED</b>		
1. ALERT 20-A		CSBG ALLOCATIONS FOR SFY 2020			3/15/2018		
2. ALERT 20-B		LIHEAP ALLOCATIONS FOR SFY 2020			3/15/2018		
3. ALERT 20-E		TANF ALLOCATIONS FOR SFY 2020			3/15/2018		
4. ALERT 20-G		SSBG ALLOCATIONS FOR SFY 2020			3/15/2018		
5. ALERT 20-I		NHN ALLOCATIONS FOR SFY 2020			3/15/2018		

<b>DIVISION OF AGING &amp; ADULT SERVICES</b>						
<b>CONTRACT OBLIGATION FOR SFY 2020</b>						
<b>CAHRA</b>	<b>SFY 2019 CARRYOVER</b>	<b>INITIAL SFY 2020 ALERTS</b>	<b>TOTAL SFY 2020 ALERTS</b>	<b>INCREASE (DECREASE) SFY 2020 ALERTS</b>	<b>REVISED TOTAL SFY 2020 AWARDS</b>	
<b>1. CSBG</b>	\$ -	\$ 316,709	\$ 316,709	\$ -	\$ 316,709	
<b>2. CSBG Discretionary</b>	\$ -	\$ -	\$ -	\$ -	\$ -	
<b>3. LIHEAP Vouchers</b>	\$ -	\$ 1,196,868	\$ 1,196,868	\$ -	\$ 1,196,868	
<b>4. LIHEAP Provider Admin</b>	\$ -	\$ 97,570	\$ 97,570	\$ -	\$ 97,570	
<b>5. LIHEAP A-16</b>	\$ -	\$ 84,890	\$ 84,890	\$ -	\$ 84,890	
<b>6. TANF</b>	\$ -	\$ 216,673	\$ 216,673	\$ -	\$ 216,673	
<b>7. SSBG</b>	\$ -	\$ 16,096	\$ 16,096	\$ -	\$ 16,096	
<b>8. NHN</b>	\$ -	\$ 2,405	\$ 2,405	\$ -	\$ 2,405	
<b>TOTAL</b>	\$ -	\$ 1,931,211	\$ 1,931,211	\$ -	\$ 1,931,211	

<b>DIVISION OF AGING &amp; ADULT SERVICES</b>						
<b>CONTRACT OBLIGATION FOR SFY 2020</b>						
<b>City of Glendale</b>	<b>SFY 2019 CARRYOVER</b>	<b>INITIAL SFY 2020 ALERTS</b>	<b>TOTAL SFY 2020 ALERTS</b>	<b>INCREASE (DECREASE) SFY 2020 ALERTS</b>	<b>REVISED TOTAL SFY 2020 AWARDS</b>	
<b>1. CSBG</b>	\$ -	\$ 206,768	\$ 206,768	\$ -	\$ 206,768	
<b>2. CSBG Discretionary</b>	\$ -	\$ -	\$ -	\$ -	\$ -	
<b>3. LIHEAP Vouchers</b>	\$ -	\$ 835,030	\$ 835,030	\$ -	\$ 835,030	
<b>4. LIHEAP Provider Admin</b>	\$ -	\$ 68,073	\$ 68,073	\$ -	\$ 68,073	
<b>5. LIHEAP A-16</b>	\$ -	\$ 59,226	\$ 59,226	\$ -	\$ 59,226	
<b>6. TANF</b>	\$ -	\$ 150,000	\$ 150,000	\$ -	\$ 150,000	
<b>7. SSBG</b>	\$ -	\$ 87,159	\$ 87,159	\$ -	\$ 87,159	
<b>8. NHN</b>	\$ -	\$ 1,678	\$ 1,678	\$ -	\$ 1,678	
<b>TOTAL</b>	\$ -	\$ 1,407,934	\$ 1,407,934	\$ -	\$ 1,407,934	

<b>DIVISION OF AGING &amp; ADULT SERVICES</b>						
<b>CONTRACT OBLIGATION FOR SFY 2020</b>						
<b>City of Phoenix</b>	<b>SFY 2019 CARRYOVER</b>	<b>INITIAL SFY 2020 ALERTS</b>	<b>TOTAL SFY 2020 ALERTS</b>	<b>INCREASE (DECREASE) SFY 2020 ALERTS</b>	<b>REVISED TOTAL SFY 2020 AWARDS</b>	
<b>1. CSBG</b>	\$ -	\$ 1,432,224	\$ 1,432,224	\$ -	\$ 1,432,224	
<b>2. CSBG Discretionary</b>	\$ -	\$ -	\$ -	\$ -	\$ -	
<b>3. LIHEAP Vouchers</b>	\$ -	\$ 5,782,277	\$ 5,782,277	\$ -	\$ 5,782,277	
<b>4. LIHEAP Provider Admin</b>	\$ -	\$ 471,379	\$ 471,379	\$ -	\$ 471,379	
<b>5. LIHEAP A-16</b>	\$ -	\$ 410,117	\$ 410,117	\$ -	\$ 410,117	
<b>6. TANF</b>	\$ -	\$ 985,710	\$ 985,710	\$ -	\$ 985,710	
<b>7. SSBG</b>	\$ -	\$ 643,106	\$ 643,106	\$ -	\$ 643,106	
<b>8. NHN</b>	\$ -	\$ 11,621	\$ 11,621	\$ -	\$ 11,621	
<b>TOTAL</b>	\$ -	\$ 9,736,434	\$ 9,736,434	\$ -	\$ 9,736,434	

<b>DIVISION OF AGING &amp; ADULT SERVICES</b>						
<b>CONTRACT OBLIGATION FOR SFY 2020</b>						
<b>Coconino County</b>	<b>SFY 2019 CARRYOVER</b>	<b>INITIAL SFY 2020 ALERTS</b>	<b>TOTAL SFY 2020 ALERTS</b>	<b>INCREASE (DECREASE) SFY 2020 ALERTS</b>	<b>REVISED TOTAL SFY 2020 AWARDS</b>	
<b>1. CSBG</b>	\$ -	\$ 150,000	\$ 150,000	\$ -	\$ 150,000	
<b>2. CSBG Discretionary</b>	\$ -	\$ 17,500	\$ 17,500	\$ -	\$ 17,500	
<b>3. LIHEAP Vouchers</b>	\$ -	\$ 402,801	\$ 402,801	\$ -	\$ 402,801	
<b>4. LIHEAP Provider Admin</b>	\$ -	\$ 32,837	\$ 32,837	\$ -	\$ 32,837	
<b>5. LIHEAP A-16</b>	\$ -	\$ 28,569	\$ 28,569	\$ -	\$ 28,569	
<b>6. TANF</b>	\$ -	\$ 150,000	\$ 150,000	\$ -	\$ 150,000	
<b>7. SSBG</b>	\$ -	\$ 19,455	\$ 19,455	\$ -	\$ 19,455	
<b>8. NHN</b>	\$ -	\$ 810	\$ 810	\$ -	\$ 810	
<b>TOTAL</b>	\$ -	\$ 801,972	\$ 801,972	\$ -	\$ 801,972	

<b>DIVISION OF AGING &amp; ADULT SERVICES</b>						
<b>CONTRACT OBLIGATION FOR SFY 2020</b>						
<b>Arizona Dept of Housing</b>	<b>SFY 2019 CARRYOVER</b>	<b>INITIAL SFY 2020 ALERTS</b>	<b>TOTAL SFY 2020 ALERTS</b>	<b>INCREASE (DECREASE) SFY 2020 ALERTS</b>	<b>REVISED TOTAL SFY 2020 AWARDS</b>	
<b>1. CSBG</b>	\$ -	\$ -	\$ -	\$ -	\$ -	
<b>2. CSBG Discretionary</b>	\$ -	\$ -	\$ -	\$ -	\$ -	
<b>3. LIHEAP Vouchers</b>	\$ -	<b>\$ 3,816,484</b>	<b>\$ 3,816,484</b>	\$ -	<b>\$ 3,816,484</b>	
<b>4. LIHEAP Provider Admin</b>	\$ -	<b>\$ 338,798</b>	<b>\$ 338,798</b>	\$ -	<b>\$ 338,798</b>	
<b>5. LIHEAP A-16</b>	\$ -	\$ -	\$ -	\$ -	\$ -	
<b>6. TANF</b>	\$ -	\$ -	\$ -	\$ -	\$ -	
<b>7. SSBG</b>	\$ -	\$ -	\$ -	\$ -	\$ -	
<b>8. NHN</b>	\$ -	\$ -	\$ -	\$ -	\$ -	
<b>TOTAL</b>	\$ -	<b>\$ 4,155,282</b>	<b>\$ 4,155,282</b>	\$ -	<b>\$ 4,155,282</b>	

<b>DIVISION OF AGING &amp; ADULT SERVICES</b>						
<b>CONTRACT OBLIGATION FOR SFY 2020</b>						
<b>Gila County</b>	<b>SFY 2019 CARRYOVER</b>	<b>INITIAL SFY 2020 ALERTS</b>	<b>TOTAL SFY 2020 ALERTS</b>	<b>INCREASE (DECREASE) SFY 2020 ALERTS</b>	<b>REVISED TOTAL SFY 2020 AWARDS</b>	
<b>1. CSBG</b>	\$ -	\$ 150,000	\$ 150,000	\$ -	\$ 150,000	
<b>2. CSBG Discretionary</b>	\$ -	\$ -	\$ -	\$ -	\$ -	
<b>3. LIHEAP Vouchers</b>	\$ -	\$ 164,563	\$ 164,563	\$ -	\$ 164,563	
<b>4. LIHEAP Provider Admin</b>	\$ -	\$ 13,416	\$ 13,416	\$ -	\$ 13,416	
<b>5. LIHEAP A-16</b>	\$ -	\$ 11,672	\$ 11,672	\$ -	\$ 11,672	
<b>6. TANF</b>	\$ -	\$ 150,000	\$ 150,000	\$ -	\$ 150,000	
<b>7. SSBG</b>	\$ -	\$ 8,048	\$ 8,048	\$ -	\$ 8,048	
<b>8. NHN</b>	\$ -	\$ 331	\$ 331	\$ -	\$ 331	
<b>TOTAL</b>	\$ -	\$ 498,030	\$ 498,030	\$ -	\$ 498,030	

<b>DIVISION OF AGING &amp; ADULT SERVICES</b>						
<b>CONTRACT OBLIGATION FOR SFY 2020</b>						
<b>Maricopa County</b>	<b>SFY 2019 CARRYOVER</b>	<b>INITIAL SFY 2020 ALERTS</b>	<b>TOTAL SFY 2020 ALERTS</b>	<b>INCREASE (DECREASE) SFY 2020 ALERTS</b>	<b>REVISED TOTAL SFY 2020 AWARDS</b>	
<b>1. CSBG</b>	\$ -	\$ 870,222	\$ 870,222	\$ -	\$ 870,222	
<b>2. CSBG Discretionary</b>	\$ -	\$ -	\$ -	\$ -	\$ -	
<b>3. LIHEAP Vouchers</b>	\$ -	\$ 3,438,014	\$ 3,438,014	\$ -	\$ 3,438,014	
<b>4. LIHEAP Provider Admin</b>	\$ -	\$ 280,271	\$ 280,271	\$ -	\$ 280,271	
<b>5. LIHEAP A-16</b>	\$ -	\$ 243,847	\$ 243,847	\$ -	\$ 243,847	
<b>6. TANF</b>	\$ -	\$ 593,324	\$ 593,324	\$ -	\$ 593,324	
<b>7. SSBG</b>	\$ -	\$ 353,966	\$ 353,966	\$ -	\$ 353,966	
<b>8. NHN</b>	\$ -	\$ 6,910	\$ 6,910	\$ -	\$ 6,910	
<b>TOTAL</b>	\$ -	\$ 5,786,554	\$ 5,786,554	\$ -	\$ 5,786,554	

<b>DIVISION OF AGING &amp; ADULT SERVICES</b>						
<b>CONTRACT OBLIGATION FOR SFY 2020</b>						
<b>MesaCAN</b>	<b>SFY 2019 CARRYOVER</b>	<b>INITIAL SFY 2020 ALERTS</b>	<b>TOTAL SFY 2020 ALERTS</b>	<b>INCREASE (DECREASE) SFY 2020 ALERTS</b>	<b>REVISED TOTAL SFY 2020 AWARDS</b>	
<b>1. CSBG</b>	\$ -	\$ 321,310	\$ 321,310	\$ -	\$ 321,310	
<b>2. CSBG Discretionary</b>	\$ -	\$ 50,000	\$ 50,000	\$ -	\$ 50,000	
<b>3. LIHEAP Vouchers</b>	\$ -	\$ 1,303,090	\$ 1,303,090	\$ -	\$ 1,303,090	
<b>4. LIHEAP Provider Admin</b>	\$ -	\$ 106,230	\$ 106,230	\$ -	\$ 106,230	
<b>5. LIHEAP A-16</b>	\$ -	\$ 92,424	\$ 92,424	\$ -	\$ 92,424	
<b>6. TANF</b>	\$ -	\$ 221,232	\$ 221,232	\$ -	\$ 221,232	
<b>7. SSBG</b>	\$ -	\$ 130,117	\$ 130,117	\$ -	\$ 130,117	
<b>8. NHN</b>	\$ -	\$ 2,619	\$ 2,619	\$ -	\$ 2,619	
<b>TOTAL</b>	\$ -	\$ 2,227,022	\$ 2,227,022	\$ -	\$ 2,227,022	

<b>DIVISION OF AGING &amp; ADULT SERVICES</b>						
<b>CONTRACT OBLIGATION FOR SFY 2020</b>						
<b>NACOG</b>	<b>SFY 2019 CARRYOVER</b>	<b>INITIAL SFY 2020 ALERTS</b>	<b>TOTAL SFY 2020 ALERTS</b>	<b>INCREASE (DECREASE) SFY 2020 ALERTS</b>	<b>REVISED TOTAL SFY 2020 AWARDS</b>	
<b>1. CSBG</b>	\$ -	\$ 271,486	\$ 271,486	\$ -	\$ 271,486	
<b>2. CSBG Discretionary</b>	\$ -	\$ 55,648	\$ 55,648	\$ -	\$ 55,648	
<b>3. LIHEAP Vouchers</b>	\$ -	\$ 1,109,090	\$ 1,109,090	\$ -	\$ 1,109,090	
<b>4. LIHEAP Provider Admin</b>	\$ -	\$ 90,414	\$ 90,414	\$ -	\$ 90,414	
<b>5. LIHEAP A-16</b>	\$ -	\$ 78,664	\$ 78,664	\$ -	\$ 78,664	
<b>6. TANF</b>	\$ -	\$ 186,134	\$ 186,134	\$ -	\$ 186,134	
<b>7. SSBG</b>	\$ -	\$ 73,725	\$ 73,725	\$ -	\$ 73,725	
<b>8. NHN</b>	\$ -	\$ 2,229	\$ 2,229	\$ -	\$ 2,229	
<b>TOTAL</b>	\$ -	\$ 1,867,390	\$ 1,867,390	\$ -	\$ 1,867,390	

<b>DIVISION OF AGING &amp; ADULT SERVICES</b>						
<b>CONTRACT OBLIGATION FOR SFY 2020</b>						
<b>Pima County</b>	<b>SFY 2019 CARRYOVER</b>	<b>INITIAL SFY 2020 ALERTS</b>	<b>TOTAL SFY 2020 ALERTS</b>	<b>INCREASE (DECREASE) SFY 2020 ALERTS</b>	<b>REVISED TOTAL SFY 2020 AWARDS</b>	
<b>1. CSBG</b>	\$ -	\$ 789,659	\$ 789,659	\$ -	\$ 789,659	
<b>2. CSBG Discretionary</b>	\$ -	\$ -	\$ -	\$ -	\$ -	
<b>3. LIHEAP Vouchers</b>	\$ -	\$ 3,090,144	\$ 3,090,144	\$ -	\$ 3,090,144	
<b>4. LIHEAP Provider Admin</b>	\$ -	\$ 251,912	\$ 251,912	\$ -	\$ 251,912	
<b>5. LIHEAP A-16</b>	\$ -	\$ 219,173	\$ 219,173	\$ -	\$ 219,173	
<b>6. TANF</b>	\$ -	\$ 540,565	\$ 540,565	\$ -	\$ 540,565	
<b>7. SSBG</b>	\$ -	\$ -	\$ -	\$ -	\$ -	
<b>8. NHN</b>	\$ -	\$ 6,210	\$ 6,210	\$ -	\$ 6,210	
<b>TOTAL</b>	\$ -	\$ 4,897,663	\$ 4,897,663	\$ -	\$ 4,897,663	

<b>DIVISION OF AGING &amp; ADULT SERVICES</b>						
<b>CONTRACT OBLIGATION FOR SFY 2020</b>						
<b>PPEP</b>	<b>SFY 2019 CARRYOVER</b>	<b>INITIAL SFY 2020 ALERTS</b>	<b>TOTAL SFY 2020 ALERTS</b>	<b>INCREASE (DECREASE) SFY 2020 ALERTS</b>	<b>REVISED TOTAL SFY 2020 AWARDS</b>	
	\$ -	\$ 105,118	\$ 105,118	\$ -	\$ 105,118	
<b>1. CSBG</b>	\$ -	\$ 105,118	\$ 105,118	\$ -	\$ 105,118	
<b>2. CSBG Discretionary</b>	\$ -	\$ 30,000	\$ 30,000	\$ -	\$ 30,000	
<b>3. LIHEAP Vouchers</b>	\$ -	\$ -	\$ -	\$ -	\$ -	
<b>4. LIHEAP Provider Admin</b>	\$ -	\$ -	\$ -	\$ -	\$ -	
<b>5. LIHEAP A-16</b>	\$ -	\$ -	\$ -	\$ -	\$ -	
<b>6. TANF</b>	\$ -	\$ 74,480	\$ 74,480	\$ -	\$ 74,480	
<b>7. SSBG</b>	\$ -	\$ -	\$ -	\$ -	\$ -	
<b>8. NHN</b>	\$ -	\$ -	\$ -	\$ -	\$ -	
<b>TOTAL</b>	\$ -	\$ 209,598	\$ 209,598	\$ -	\$ 209,598	

<b>DIVISION OF AGING &amp; ADULT SERVICES</b>						
<b>CONTRACT OBLIGATION FOR SFY 2020</b>						
<b>SEACAP</b>	<b>SFY 2019 CARRYOVER</b>	<b>INITIAL SFY 2020 ALERTS</b>	<b>TOTAL SFY 2020 ALERTS</b>	<b>INCREASE (DECREASE) SFY 2020 ALERTS</b>	<b>REVISED TOTAL SFY 2020 AWARDS</b>	
<b>1. CSBG</b>	\$ -	\$ 200,372	\$ 200,372	\$ -	\$ 200,372	
<b>2. CSBG Discretionary</b>	\$ -	\$ -	\$ -	\$ -	\$ -	
<b>3. LIHEAP Vouchers</b>	\$ -	\$ 818,467	\$ 818,467	\$ -	\$ 818,467	
<b>4. LIHEAP Provider Admin</b>	\$ -	\$ 66,722	\$ 66,722	\$ -	\$ 66,722	
<b>5. LIHEAP A-16</b>	\$ -	\$ 58,051	\$ 58,051	\$ -	\$ 58,051	
<b>6. TANF</b>	\$ -	\$ 150,000	\$ 150,000	\$ -	\$ 150,000	
<b>7. SSBG</b>	\$ -	\$ -	\$ -	\$ -	\$ -	
<b>8. NHN</b>	\$ -	\$ 1,645	\$ 1,645	\$ -	\$ 1,645	
<b>TOTAL</b>	\$ -	\$ 1,295,257	\$ 1,295,257	\$ -	\$ 1,295,257	

<b>DIVISION OF AGING &amp; ADULT SERVICES</b>						
<b>CONTRACT OBLIGATION FOR SFY 2020</b>						
<b>Tohono O'odham</b>	<b>SFY 2019 CARRYOVER</b>	<b>INITIAL SFY 2020 ALERTS</b>	<b>TOTAL SFY 2020 ALERTS</b>	<b>INCREASE (DECREASE) SFY 2020 ALERTS</b>	<b>REVISED TOTAL SFY 2020 AWARDS</b>	
<b>1. CSBG</b>	\$ -	\$ -	\$ -	\$ -	\$ -	
<b>2. CSBG Discretionary</b>	\$ -	\$ -	\$ -	\$ -	\$ -	
<b>3. LIHEAP Vouchers</b>	\$ -	<b>\$ 117,500</b>	<b>\$ 117,500</b>	\$ -	<b>\$ 117,500</b>	
<b>4. LIHEAP Provider Admin</b>	\$ -	<b>\$ 7,500</b>	<b>\$ 7,500</b>	\$ -	<b>\$ 7,500</b>	
<b>5. LIHEAP A-16</b>	\$ -	\$ -	\$ -	\$ -	\$ -	
<b>6. TANF</b>	\$ -	\$ -	\$ -	\$ -	\$ -	
<b>7. SSBG</b>	\$ -	\$ -	\$ -	\$ -	\$ -	
<b>8. NHN</b>	\$ -	\$ -	\$ -	\$ -	\$ -	
<b>TOTAL</b>	\$ -	<b>\$ 125,000</b>	<b>\$ 125,000</b>	\$ -	<b>\$ 125,000</b>	

<b>DIVISION OF AGING &amp; ADULT SERVICES</b>						
<b>CONTRACT OBLIGATION FOR SFY 2020</b>						
<b>WACOG</b>	<b>SFY 2019 CARRYOVER</b>	<b>INITIAL SFY 2020 ALERTS</b>	<b>TOTAL SFY 2020 ALERTS</b>	<b>INCREASE (DECREASE) SFY 2020 ALERTS</b>	<b>REVISED TOTAL SFY 2020 AWARDS</b>	
<b>1. CSBG</b>	\$ -	\$ 442,037	\$ 442,037	\$ -	\$ 442,037	
<b>2. CSBG Discretionary</b>	\$ -	\$ -	\$ -	\$ -	\$ -	
<b>3. LIHEAP Vouchers</b>	\$ -	\$ 1,762,738	\$ 1,762,738	\$ -	\$ 1,762,738	
<b>4. LIHEAP Provider Admin</b>	\$ -	\$ 143,701	\$ 143,701	\$ -	\$ 143,701	
<b>5. LIHEAP A-16</b>	\$ -	\$ 125,025	\$ 125,025	\$ -	\$ 125,025	
<b>6. TANF</b>	\$ -	\$ 305,882	\$ 305,882	\$ -	\$ 305,882	
<b>7. SSBG</b>	\$ -	\$ -	\$ -	\$ -	\$ -	
<b>8. NHN</b>	\$ -	\$ 3,542	\$ 3,542	\$ -	\$ 3,542	
<b>TOTAL</b>	\$ -	\$ 2,782,925	\$ 2,782,925	\$ -	\$ 2,782,925	

<b>DIVISION OF AGING &amp; ADULT SERVICES</b>						
<b>CONTRACT OBLIGATION FOR SFY 2020</b>						
<b>WILDFIRE</b>	<b>SFY 2019 CARRYOVER</b>	<b>INITIAL SFY 2020 ALERTS</b>	<b>TOTAL SFY 2020 ALERTS</b>	<b>INCREASE (DECREASE) SFY 2020 ALERTS</b>	<b>REVISED TOTAL SFY 2020 AWARDS</b>	
	\$ -	\$ -	\$ -	\$ -	\$ -	
<b>1. CSBG</b>	\$ -	\$ -	\$ -	\$ -	\$ -	
<b>2. CSBG Discretionary</b>	\$ -	<b>\$ 178,400</b>	<b>\$ 178,400</b>	\$ -	<b>\$ 178,400</b>	
<b>3. LIHEAP Vouchers</b>	\$ -	\$ -	\$ -	\$ -	\$ -	
<b>4. LIHEAP Provider Admin</b>	\$ -	<b>\$ 25,000</b>	<b>\$ 25,000</b>	\$ -	<b>\$ 25,000</b>	
<b>5. LIHEAP A-16</b>	\$ -	\$ -	\$ -	\$ -	\$ -	
<b>6. TANF</b>	\$ -	\$ -	\$ -	\$ -	\$ -	
<b>7. SSBG</b>	\$ -	\$ -	\$ -	\$ -	\$ -	
<b>8. NHN</b>	\$ -	\$ -	\$ -	\$ -	\$ -	
<b>TOTAL</b>	\$ -	<b>\$ 203,400</b>	<b>\$ 203,400</b>	\$ -	<b>\$ 203,400</b>	



Division of Aging and Adult Services  
ALERT

SFY-20-J A.1

## **Policy and Procedures for SFY 2020**

Policy and Procedure ALERTS are intended to notify Community Action Program (CAP) Agencies on newly developed, updated or revised Division of Aging and Adult Services (DAAS) Policies and Procedures. Please ensure that all appropriate CAP staff is provided with this information.

### **Background**

Each program fund has rules for carryover that vary but do not have written rules in a single location to provide comprehensive information regarding program fund carryover policy.

### **Summary**

Attachment #J A.2 contains a policy update regarding carryover funds for CAPS programs. This policy document is to codify DAAS' procedures regarding carryover for each CAPS funding source: LIHEAP, CSBG, TANF, and NHN. Also included with the document are various tables illustrating carryover procedures.

### **Implementation**

This policy will be in effect immediately and will apply to carryover of funds into State Fiscal Year 2020.

Please direct any questions regarding the policies and procedures to Edward Chien at (602) 542-3269, or [echien@azdes.gov](mailto:echien@azdes.gov).

**DAAS/CAAPA**  
**General Policy 2019-01:**  
**Carryover of CSBG, LIHEAP, SSBG, and TANF Funding**  
*Effective immediately*

**1.0 Definitions**

- 1.1 “Community Action Agency” (CAA) here refers to an eligible entity as defined by the Community Services Block Grant Act at 42 U.S.C. §9902(1)(A). It is thus inclusive of “limited purpose agencies” which were so designated under Title II of the Economic Opportunity Act of 1964.
- 1.2 “Agency” here refers to any organization which receives funding from the Division of Aging and Adult Services (DAAS) under the Community Action Program Services Scope of Work.

**2.0 General – All Funding Sources**

- 2.1 Agencies will submit final, close-out invoices within 45 days following the end of a fiscal year.
- a. If an agency does not submit its final invoice for a fiscal year within that timeframe, DAAS, at its discretion, may proceed with the carryover allocations process without that agency. In this scenario, an agency would still eventually receive its full CSBG carryover per §3.1, but it would not be included in the reallocation of LIHEAP funds described in §4.1 *et seq.*
- 2.2 DAAS will publish an ALERT announcing allocation of carryover funds within 120 days following the end of a fiscal year.

**3.0 CSBG Carryover**

- 3.1 All CSBG funds allocated to a CAA which are unspent at the end of a fiscal year will be reallocated to that agency in the following fiscal year. If federal statute changes, this policy may be revised in accordance with statute (see Appendix C).
- 3.2 Unspent funds allocated to a CAA will only be reallocated to that agency in the fiscal year immediately following the year of their original allocation. In other words, if funds originally allocated to a CAA in Year 1 remain unspent even in Year 2, they may be recouped by DAAS for reallocation in Year 3 (see Table 1 in Appendix A).
- a. This eventuality is unlikely, since the State will consider carryover funds to have been expended first (see Table 1 in Appendix A).
- b. However, in case this eventuality does come to pass:
- i. Regular CSBG funds will be reallocated per the funding formula.
- ii. Discretionary CSBG funds will be reallocated per the State’s discretion.
- 3.3 CSBG discretionary funds allocated to an agency other than a CAA which are unspent at the end of a fiscal year will be recouped by DAAS and used for discretionary purposes in the following fiscal year.
- 3.4 Discretionary funds awarded to an eligible entity in Year 1 will be carried over as discretionary funds for that entity in Year 2. The entity must spend such funds either for the originally approved purpose or for a different purpose subsequently approved in writing by DAAS.

#### **4.0 LIHEAP Carryover**

- 4.1 In an amount up to 10 percent of the agency's allocation for that fiscal year, LIHEAP funds allocated to an agency which are unspent at the end of a fiscal year will be reallocated to that same agency in the following fiscal year. See Table 2 in Appendix A.
- a. This reallocation is contingent on the agency submitting its final fiscal year invoice within the specified timeframe (see §2.1a).
  - b. The 10 percent carryover limit will be assessed against the agency's allocation for that fiscal year *excluding carryover from prior years*. See Table 3 in Appendix A.
  - c. The 10 percent carryover limit will be assessed separately against each type of LIHEAP funding (i.e. admin, voucher, leveraging, and Assurance 16). See Table 2 in Appendix A. The amount of each funding type that an agency was allocated will be determined by the agency's most recently approved Itemized Service Budget.
  - d. LIHEAP funds which DAAS has approved for a specific multi-year purpose will not be subject to the 10 percent carryover limit. Except as restricted in the terms of their approval, such funds will be carried over in full for the duration of their period of approval. Once the period of approval ends, unspent such funds will be recouped and added to the Carryover Pool described in §4.3.
- 4.2 Unspent funds exceeding the 10 percent limit will be recouped and added to the Carryover Pool described in §4.3.
- 4.3 Recouped LIHEAP funds will be aggregated into a single Carryover Pool. Funds in the Carryover Pool will be reallocated to CAAs only.
- 4.4 Recouped funds will retain their character as admin, voucher, etc. in the Carryover Pool.
- 4.5 Recouped LIHEAP-Weatherization admin and voucher funds will be converted to regular LIHEAP admin and voucher funds in the Carryover Pool.
- 4.6 Carryover Pool funds will be reallocated to CAAs according to the following procedure:
- a. Each agency's share of the LIHEAP funding formula will be multiplied against the percentage of its LIHEAP allocation expended in the previous fiscal year to obtain that agency's Carryover Score. E.g., the Carryover Score for an agency which receives 8 percent of the funding formula and which spent 90 percent of its allocation in the previous year would be  $.08 \times .9 = 0.072$ .
  - b. Each agency's Carryover Score will be divided by the sum of all agencies' Carryover Scores to obtain the proportion of the Carryover Pool which that agency will receive. See Appendix B for a demonstration.

#### **5.0 TANF, SSBG, and NHN Carryover**

- 5.1 TANF, SSBG, and NHN funds allocated to an agency which are unspent at the end of a fiscal year will not be reallocated in the following fiscal year. This is because DAAS itself only has spending authority of one year for such funds.

### Appendix A

#### Tables Illustrating Carryover Policies

*Table 1: Unexpended Year 1 CSBG funds carrying over into Year 2 but not into Year 3*

	<b>Year 1</b>	<b>Year 2</b>	<b>Year 3</b>
<b>Allocation</b>	\$100	\$100 (Year 2 money) + \$20 (Year 1 carryover)	\$100 (Year 3 money) + \$100 (Year 2 carryover)
<b>Expenditures</b>	\$80	\$10	\$150
<b>Remaining</b>	\$20	\$100 (Year 2 money) + \$10 (Year 1 money; was spent first)	\$50 (Year 3 money)
<b>To Carryover</b>	\$20	\$100 (Year 2 money)  (Year 1 funds have expired)	\$50 (Year 3 money)

*Table 2: 10% LIHEAP carryover limit assessed separately against each funding type*

	<b>Year 1 Allocation</b>	<b>Year 1 Expended</b>	<b>Year 1 Remaining</b>	<b>Carryover for Year 2</b>
<b>Admin</b>	\$70	\$70	\$0	\$0
<b>Voucher</b>	\$930	\$800	\$130	\$93 (= 10% of \$930)

*Table 3: 10% LIHEAP carryover limit assessed against Year 2's new money, excluding Year 1 carryover*

	<b>Year 1</b>	<b>Year 2</b>
<b>Allocation</b>	\$100	\$120 (Year 2 money) + \$10 (Year 1 carryover)
<b>Expenditures</b>	\$90	\$90
<b>Remaining</b>	\$10	\$40
<b>To Carryover</b>	\$10	\$12 (= 10% of \$120)

**Appendix B**  
**Carryover Pool Procedure**

	A	B	C	D	E	F	G	H	I	J	K
	Allocation	Spent	Unspent	% Expended	Guaranteed Carryover (10% of C)	Unspent Funds for Carryover Pool (C minus E)	Share of Funding Formula	Carryover Score (D times G)	% Share of Carryover Pool (H divided by Total H)	\$ Share of Carryover Pool (I times Total F)	Total Carryover (E plus J)
<b>Agency 1</b>	\$100	\$90	\$10	90%	\$10	\$0	7.41%	0.067	8.7%	\$17.74	\$27.74
<b>Agency 2</b>	\$150	\$140	\$10	93%	\$10	\$0	11.11%	0.104	13.5%	\$27.60	\$37.60
<b>Agency 3</b>	\$200	\$100	\$100	50%	\$20	\$80	14.81%	0.074	9.6%	\$19.71	\$39.71
<b>Agency 4</b>	\$250	\$250	\$0	100%	\$0	\$0	18.52%	0.185	24.0%	\$49.28	\$49.28
<b>Agency 5</b>	\$300	\$260	\$40	87%	\$30	\$10	22.22%	0.193	25.0%	\$51.25	\$81.25
<b>Agency 6</b>	\$350	\$200	\$150	57%	\$35	\$115	25.93%	0.148	19.2%	\$39.42	\$74.42
<b>TOTAL</b>	<b>\$1,350</b>	<b>\$1,040</b>	<b>\$310</b>	<b>N/A</b>	<b>\$105</b>	<b>\$205</b>	<b>100%</b>	<b>0.771</b>	<b>100.0%</b>	<b>\$205</b>	<b>\$310.00</b>

## Appendix C

### Federal Statutes Governing CSBG Carryover

Distribution of CSBG carryover funding to eligible entities will be done in accordance with relevant federal statutes. The Community Services Block Grant Act at 42 U.S.C. §9907(a)(3)(A) provides that:

*“...a State may recapture and redistribute funds distributed to an eligible entity through a grant made under paragraph (1) that are unobligated at the end of a fiscal year if such unobligated funds exceed 20 percent of the amount so distributed to such eligible entity for such fiscal year.”*

In other words, the CSBG Act guarantees that eligible entities must receive back their unspent CSBG funds as carryover in an amount up to 20% of their original allocation. Per the CSBG Act, unspent funds in excess of 20% may be recouped and redistributed by the State.

*However*, per the Terms and Conditions attached to the CSBG grant awards made to States, States are required to follow all requirements in the most current federal appropriations act. For many years, the Consolidated Appropriations Act of each year has included the following language:

*“...to the extent Community Services Block Grant funds are distributed as grant funds by a State to an eligible entity as provided under the CSBG Act, and have not been expended by such entity, they shall remain with such entity for carryover into the next fiscal year for expenditure by such entity consistent with program purposes.”*

In other words, the Consolidated Appropriations Act requires that eligible entities must receive back *all* of their unspent CSBG funds as carryover, regardless of the amount. The Appropriations Act takes precedence over the CSBG Act, and thus the State of Arizona has adopted the policy at §3.1 in this document. However, if the Consolidated Appropriations Act of any given year were not to include the language above, then the 20% limit from the CSBG Act would become the applicable law, and it is possible that the State of Arizona would revise the policy at §3.1 in this document.



**Policy and Procedures  
for SFY 2020**

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**LIHEAP Categorical Eligibility**

**Background**

This policy provides rules for applying categorical eligibility to applicants for LIHEAP. It will allow households that qualify under income, citizenship and residence guidelines for certain federal and state programs to also qualify for LIHEAP, if those programs use the same criteria. This action will save time and administrative costs by eliminating duplication of effort by clients and processing by service personnel.

**Summary**

This policy codifies the State's categorical eligibility rules and procedures for LIHEAP.

**LIHEAP Administrative Cost Expenditure Policy**

**Background**

This policy is to codify the rules for LIHEAP administrative cost expenditure rules, and additional rules for using other federal funds in support of LIHEAP activities.

**Implementation**

These policies are effective July 1, 2019.

Attached forms: LIHEAP Policy 2019-01, and pages from the updated LIHEAP Policy Manual, The LIHEAP Policy and Procedures Manual will be revised to include these changes for SFY 2020. Attachment SFY 20 J.A3, Attachment SFY 20 J. SFY 20 J A.2, Admin Expenditure Policy.

Should you have any questions or require additional information, please contact Edward Chien, Community Action Program Manager, at 602-542-3269 or [echien@azdes.gov](mailto:echien@azdes.gov).

**DAAS/CAAPA**  
**Funding Sources Chargeable for the Administration of LIHEAP**  
*Effective July 1, 2019*

**Summary**

LIHEAP statute and regulations prohibit other federal grants from being used to pay for the administration of LIHEAP services. (The exception is Assurance 16 services, the administration of which may be charged to other federal sources if allowable per those sources). When a resource supports both LIHEAP and other services, a reasonable cost allocation procedure must dictate how much of the resource is charged to LIHEAP and how much to other funding sources.

**A. Background**

1. [42 U.S.C. §8624\(b\)\(9\)\(A\)](#) specifies that “the State may use for planning and administering [LIHEAP funds] an amount not to exceed 10 percent of the funds payable to such State”.
2. [45 C.F.R. §96.88\(a\)](#) specifies that all administrative costs count against the 10 percent limit, “regardless of whether the expenditure is incurred by the State, a subrecipient, a grantee, or a contractor of the State”.
3. [42 U.S.C. §8624\(b\)\(9\)\(B\)](#) requires that “the State will pay from non-Federal sources the remaining costs of planning and administering the program”.
4. The State of Arizona dedicates a full 10 percent of its LIHEAP grant to administration, dividing this administrative portion between itself and its contracted service providers.
5. Therefore, if providers charged other federal grants for the administration of LIHEAP, this would result in the State exceeding its 10 percent limit.

**B. Policy**

1. Except for LIHEAP services as described in [42 U.S.C. §8624\(b\)\(16\)](#) (“Assurance 16” activities), LIHEAP providers may not use other federal grants to pay for the administrative costs associated with LIHEAP services.
2. LIHEAP administrative costs are hereby defined as all costs **excluding** the following:
  - a. The cost of physical energy resources given to clients, such as portable fuels or other materials defined as allowable per the ADES LIHEAP Policy and Procedure Manual;
  - b. The cost of energy bill payments made to vendors on clients’ behalf; and
  - c. The costs of intake staff to meet with clients, determine their need and eligibility, and define the assistance to be provided to them. These costs include staff salaries and fringe benefits.
3. In cases where a resource is used for administration of both LIHEAP and other services, the provider must have a reasonable cost allocation procedure in place to determine what portion of that resource is charged to LIHEAP (cf. [2 C.F.R. §200.405\(d\)](#)).
4. The State may review agencies’ cost allocation procedures as a component of contract monitoring. While providers will be recognized as the experts on how their resources are utilized, the State will make a finding if a cost allocation is clearly erroneous.

When documents are not available; a collateral contact may be used. If all other resources have been exhausted a client statement may be taken, but not for verifying Citizenship, Legal Resident Status or Social Security number verification.

The DES SNAP/TANF case management system may be accessed by providers to verify that eligibility requirements (Social Security Number, Residency requirements, Citizenship requirements, and income requirements) have been met for LIHEAP.

Collateral contact **CANNOT** be used to verify citizenship or legal resident status.

**400 ELIGIBLE APPLICANT**

LIHEAP assistance is available to singles and/or families with children including those receiving cash assistance. The following must apply:

1. Must be vulnerable to the rising costs of utilities by having either an obligation to pay a utility bill directly to a utility company, to purchase alternative fuel from a vendor or in non-subsidized rent which includes utilities.

**Note: In situations where the accountholder is not the applicant, documentation must be obtained that transfers responsibility for utility costs from the accountholder to the applicant. Such documentation may include:**

- a. A written statement from the landlord or accountholder, or lease agreement indicating a responsibility for the applicant to pay utility costs (only the energy portion of the cost may be paid with LIHEAP funds unless the client qualifies for water assistance. See Section 700 for guidelines).
  - b. Power of Attorney has been granted from the accountholder to the applicant.
  - c. A Death Certificate for the accountholder, plus client or landlord statement indicating the applicant's responsibility for paying the utility bill.
2. At least one household member must be a U.S. Citizen or a Qualified Non-Citizen with Legal Permanent Resident (LPR) status.
  3. An eligible applicant must execute a sworn affidavit (**ATTACHMENT 1**) or another DES/DAAS approved affidavit form affirming the documentation provided as listed in Exhibit I, Instructions for Verifying Citizenship and Non-Citizen Legal Permanent Resident (LPR) Status during the verification process is/are true.
    - a. Service Providers who determine eligibility for these programs will be required to ensure that an affidavit is obtained in a way that does not delay the eligibility determination process.
    - b. Eligible applicants are exempt from providing an affidavit only if they are:
      - **60 years of age or older**
      - If they are **Tribal Members** (See Section **500 Tribal Members**)

- If they are **disabled or have an incapacity of the body or mind** which makes them unable to supply such affirmation.

4. Applicant must show an energy burden and accumulate the required number of points to be determined using the LIHEAP Worksheet. **See Attachment 2** and **Attachment 3**.

#### **400.1 Categorical Eligibility**

LIHEAP Applicants that are applying for assistance will follow the current application process with the exception to the use of AZTECS, HEAPLUS or other DES approved documentation as proof of citizenship, AZ residency and identity.

If the recipient does not have the SNAP/TANF award letter available a copy of the CAP2 screen or award letter from AZTECS can be used for verification.

Eligibility determination and benefit amounts are determined based on a point system which is used for all households. Basic eligibility requirements are the same for all households. There is no differentiation in point assignments among income eligible households and categorically eligible or recertification program households.

##### **400.01.1 Recertification Programs**

Participants in recertification programs may use a pre-register/pre-enrollment application process. Terms for categorical eligibility may be applied to participants.

Note: Recertification Program participants receive max benefit per the LIHEAP matrix.

##### **400.01.2 Households with Combined Utilities and rent**

The above policy applies to all eligible households seeking utility assistance in addition to the following: For eligible renters who pay for energy indirectly for their residence as an undesignated part of the rent CAA will automatically apply the maximum 300 dollars as their energy burden per the LIHEAP Matrix.

**NOTE: All other LIHEAP eligibility requirements must be completed, e.g. energy burden, to finalize application.**

**NOTE: If the applicant is applying through an expedited process targeting vulnerable households (such as those with young children, disabled, or elderly household members), the agency may choose to issue the maximum benefit. In this case, this should be noted in the casefile. As an alternative, if the applicant is a returning LIHEAP beneficiary, the applicant may receive a benefit equivalent to the last received LIHEAP payment, unless the applicant indicates a change in household composition, income, or other circumstance that may affect the benefit level. New, complete applications must be received a minimum of every five years for such clients.**

Once permanent identity documents are verified by the agency, agencies do not need to verify these documents during future visits to the same agency. Documents that are likely to change in the future (e.g. a document is likely to expire, or an updated version will be needed), will need to be re-verified.

### **400.03 Right to Request Financial Assistance**

All persons have the right to request financial assistance by following the procedures established by the state and the local agency that provides the services for the area in which they live.

### **400.04 Residency**

Applicant must be a resident of Arizona at the time the application is submitted. Services cannot be authorized or provided to an applicant who is traveling through the state or living in Arizona for a temporary reason. Assistance may be provided to homeless households if they are requesting assistance to establish utility services. Seasonal residents and migrant workers may be considered residents if they are able to provide documentation that their current residence is in Arizona and they are able to provide documentation that they will reside in Arizona for at least seven (7) months or more.

#### **400.04.1 (I) Determining Arizona Residency**

Many residents in Arizona are technically seasonal inhabitants (students, seasonal workers), however; in some cases, they could be considered residents of Arizona. The Arizona Motor Vehicle Division's (MVD) guidelines should be used to assist in determining residency. The following questions should be considered (Community Service Memo [CM] Q&A 2013-002 Residency):

- A. Does the client work in Arizona in an occupation that is not seasonal?
- B. Does the household have children who attend school in Arizona or does?
- C. The household pay Arizona resident rates for school tuition for children in the household?
- D. Does the household own a business that has an office, base, or vehicles operating in Arizona?
- E. Do household members have Arizona State Driver's License?
- F. Does the applicant reside in Arizona seven or more months of every year?
- G. Are household members employed in Arizona?
- H. Does the household pay Arizona State taxes?
- I. Are members of the household established with an Arizona medical provider?
- J. Does the household have a rental agreement/lease or own the home they are residing in, in Arizona?

If "Yes" is the answer to any of the above questions, the applicant is considered an Arizona resident. Students who are deemed "out-of-state" by their university and do not take more than seven (7) hours of course work each semester are not residents, even if they are employed in the state. Similarly, military personnel based in Arizona who are exempt under the Soldiers and Sailors Relief Act, are not considered residents of the state.

#### **Military Households**

Military households whose primary residence is in Arizona at the time of application may receive LIHEAP assistance if determined eligible unless they are exempt under the Soldiers and Sailors Relief Act. If the head of household is deployed the household may receive LIHEAP assistance if determined eligible.

#### 400.05 Institutionalized Residents

The applicant shall **not** be a resident of an institution. Institutions include but are not limited to:

- Hospitals
- Licensed Domiciliary Care Facilities (family care homes, homes for the aged and family care homes for developmentally disabled adults)
- Intermediate Care Facilities
- Skilled Nursing Facilities or Homes
- Alcohol and Drug Rehabilitation Centers or Treatment Programs
- Dormitories
- Temporary protective facilities, such as domestic violence shelters, etc.
- Prisons

#### 400.05 (I) Hospitalization

LIHEAP grantees have the flexibility of serving those income eligible households that may define residency regarding hospitalization as the following:

I. A customer who is in a long-term care (residential) bed in a hospital is considered to be residing in a long-term care medical institution. Eligibility is determined as if the customer is residing in a nursing facility and NOT in the household.

II. When the customer is in an acute (immediate) care hospital, the customer's living arrangement prior to entering the hospital, is considered the living arrangement during the hospitalization and they ARE considered as part of the household.

III. When a customer is in a rehabilitation (temporary) care hospital the customer is residing in a temporary housing situation and is NOT considered as part of the household and is not eligible for LIHEAP benefit.

For example - the customer was living in at home before entering the hospital, the period spent in the hospital is considered as still living at home and they ARE considered as part of the household. There is no change to the customer's eligibility.

#### 400.06 Previously Granted Applicants

If two or more individuals, previously considered as one household, receive a LIHEAP or Supplemental benefit, then separate, **neither party** may again receive a regular LIHEAP payment during the same 12-month period. If neither party has received a Supplemental benefit, an application may be taken and if eligible, payment may not exceed the **\$500 limit**.

#### 400.07 Domestic Violence Victims

If a client who was in a previous household that received LIHEAP assistance and separated from it due to domestic violence, that party may apply for LIHEAP and Supplemental LIHEAP assistance if they are eligible. Supporting documents such as police reports, court documents etc., should be included in the file.

**400.08 Abandonment/Incarceration/Death**

If the wage earner abandons the household, is incarcerated or dies, the Service Provider should consider only the income of any remaining family members.

**500 TRIBAL MEMBERS**

If an applicant is a member of a tribe that receives LIHEAP funding directly from the Federal Department of Health & Human Services (DHHS) or contracts with the Arizona Department of Economic Security, Division of Aging and Adult Services (ADES/DAAS) and resides on reservation land, the Service Providers are not required to provide utility assistance benefits. A tribal member is defined as an individual who belongs to a Native American Tribe or nation and is typically registered with that tribe or nation.

If a tribe does not receive benefits directly from DHHS or contracts with the DES/DAAS, tribal applicants must be served in the same manner as other applicants by the Service Providers within the geographic area. Below is a list of Arizona tribes that contract directly with the ADES/DAAS.

<b>Tribes – Direct DHHS Funding</b>	<b>Tribe Contracting with the State</b>
Cocopah Tribal Council	Tohono O'Odham Nation
Colorado River Indian Tribes	
Fort Mojave Tribal Council	
Gila River Pima-Maricopa Community	
Navajo Nation	
Pascua Yaqui Tribe	
Quechan Indian Tribe (Fort Yuma)	
Salt River Pima/Maricopa County	
San Carlos Apache Tribe	
White Mountain Apache Tribe	
**Note Tribal information may change in FFY 2018	

**600 TIME LIMITS**

LIHEAP assistance shall be authorized only once in a twelve consecutive month period, which begins on the eligibility date determined by the Service Provider. Supplemental assistance may be provided one time within the initial consecutive twelve-month period after LIHEAP assistance has been provided to the household. Both LIHEAP and Supplemental assistance can be given to a household at the same time which is to be determined by the Service Provider.

**For Example:** A household receives regular LIHEAP assistance on February 4, 2019 and Supplemental assistance on October 4, 2018. The household is eligible to apply for LIHEAP assistance on or after February 5, 2020. The household may be eligible for Supplemental assistance either on

**Technical Assistance  
for SFY 2020**

Technical Assistance ALERTS are generated periodically to update contractual and/or programmatic requirements and/or clarifications. Please ensure that appropriate Community Action Agency (CAA) staff are aware of this technical assistance.

**Community Action Program Services (CAPS) – Income Eligibility Thresholds for SFY 2020**

The SFY 2020 Income Threshold Chart for CAPS becomes effective on **July 1, 2019 and will remain in effect until June 30, 2020**. Both the Federal Poverty Guideline (FPG) and the State Median Income (SMI) have risen slightly for 2020. The income threshold for Low Income Home Energy Assistance (LIHEAP) eligibility, is set at 60 percent of the current (SMI, as determined by the 2017 American Community Survey (ACS), Five-Year Estimates, or 150 percent of the current Federal Poverty Guideline (FPG), whichever is greater.

In SFY 2020, the 150 percent FPG will be greater than 60 percent of the SMI for households sized **8** and larger in SFY 2020. Therefore, for households with **1-7** persons, 60 percent of the SMI in the last 30 days will be the income limit for LIHEAP. For households with 8 or more members, 150 percent of the FPG in the last 30 days will be the income limit.

The income thresholds are listed on the comprehensive CAPS chart (Attachment SFY 20 K A.1) for all other Community Action Program Services. An abbreviated chart for use with LIHEAP only is also included in this ALERT (Attachment SFY 2020 K A.2). The current FPGs are used to determine income eligibility according to the rules and income limits for each specific program.

These charts will replace the SFY 2019 Income Threshold charts in the LIHEAP and Short-Term Crisis Services (STCS) Policy and Procedure Manuals beginning July 1, 2019.

Should you have any questions or require additional information, please contact Edward Chien, Community Action Program Manager, at 602-542-3269 or [echien@azdes.gov](mailto:echien@azdes.gov).

**Arizona Department of Economic Security - Division of Aging and Adult Services (DAAS)**  
**Community Action Programs and Services**

Income Thresholds for Community Action Program Services - Effective July 1, 2019 - June 30, 2020

<b>Federal Poverty Guidelines (FPG) - Income thresholds for the last 30 days by percent of FPG - For HH Size</b>													
<i>Number of Household Members&gt;&gt;</i>	1	2	3	4	5	6	7	8	9	10	11	12	<i>For &gt;12 Add</i>
<b>0%-75%</b> of Poverty = At or under 75% of the FPG, FYI..	\$780	\$1,056	\$1,333	\$1,609	\$1,885	\$2,161	\$2,438	\$2,714	\$2,990	\$3,266	\$3,543	\$3,819	\$276
<b>76%-100%</b> of Poverty = Above 75% and at or below 100% of FPG. FYI - for reporting and programs with an income limit of 100% of poverty.	\$1,040	\$1,409	\$1,777	\$2,145	\$2,514	\$2,882	\$3,250	\$3,619	\$3,987	\$4,355	\$4,724	\$5,092	\$368
<b>101%-125%</b> of Poverty = Above 100% and at or below 125% of FPG. Threshold for: NHN STCS, CSBG clients aged 59 and under without disabilities. For CSBG/STCS clients 60+ or persons with disabilities see: <b>126%-150%</b> of Poverty below.	\$1,301	\$1,761	\$2,221	\$2,682	\$3,142	\$3,603	\$4,063	\$4,523	\$4,984	\$5,444	\$5,905	\$6,365	\$460
<b>126%-150%</b> of Poverty = Above 125% and at or below 150% of FPG. Threshold for: STCS, NHN and CSBG clients aged 60+, persons with disabilities. For LIHEAP clients see next section, LIHEAP ONLY.	\$1,561	\$2,113	\$2,666	\$3,218	\$3,771	\$4,323	\$4,876	\$5,428	\$5,981	\$6,533	\$7,086	\$7,638	\$552

**LIHEAP ONLY - Income Thresholds by Household Size - these numbers used for income eligibility only**

<i>Number of Household Members&gt;&gt;</i>	1	2	3	4	5	6	7	8	9	10	11	12	<i>For &gt;12 Add</i>
The household income limit for the last 30 days for LIHEAP is <b>60% of SMI</b> for households sized <b>7 and under</b> . For households sized <b>8 and over</b> , the income limit is <b>150% of FPG - FPL UPDATED FOR SFY 2020</b>	\$1,959	\$2,562	\$3,165	\$3,768	\$4,371	\$4,974	\$5,087	\$5,428	\$5,981	\$6,533	\$7,086	\$7,638	\$552
	Income limits for LIHEAP households sized 7 and under using 60% of State Median Income							Income limits for LIHEAP households sized 8 and over (using Federal Poverty Guidelines)					

**LIHEAP ONLY - Energy Points for Income by Household Size**

<i>Number of Household Members&gt;&gt;</i>	1	2	3	4	5	6	7	8	9	10	11	12	<i>For &gt;12 Add</i>
A) 5 points At or below <b>25%</b> of 60% of SMI or 150% of FPG for households sized <b>8 or more &gt;&gt;</b>	\$489	\$640	\$791	\$942	\$1,092	\$1,243	\$1,271	\$1,357	\$1,495	\$1,633	\$1,771	\$1,909	\$138
B) 4 points Above <b>25%</b> and up to <b>50%</b> of 60% of SMI > or above 150% for households sized <b>8 or more &gt;&gt;</b>	\$979	\$1,281	\$1,582	\$1,884	\$2,185	\$2,487	\$2,543	\$2,714	\$2,990	\$3,266	\$3,543	\$3,819	\$276
C) 3 points Above <b>50%</b> and up to <b>75%</b> of 60% of the SMI >>or above 150% for households sized 8 or more	\$1,469	\$1,922	\$2,374	\$2,826	\$3,278	\$3,731	\$3,815	\$3,900	\$3,985	\$4,070	\$4,154	\$4,239	\$414
D) 2 points Above <b>75%</b> of 60% of SMI or above 150% of FPG for households sized <b>8 or more. &gt;&gt;</b>	\$1,959	\$2,562	\$3,165	\$3,768	\$4,371	\$4,974	\$5,087	\$5,428	\$5,981	\$6,533	\$7,086	\$7,638	\$552



## Department of Economic Security (DES)

### Division of Aging and Adult Services (DAAS) SFY 2018 Simplified LIHEAP Income Chart

Effective July 1, 2019 to June 30, 2020

**60 percent of State Median Income (SMI) is used for households sized 7 and under**

**150 percent of Federal Poverty Guideline (FPG) is used for households sized 8 and over**

#### Household Size

#### 30 Day Gross Income Limit

(Dollar Amount)

1	\$1,959
2	\$2,562
3	\$3,165
4	\$3,768
5	\$4,371
6	\$4,974
7	\$5,087
8	\$5,428
9	\$5,981
10	\$6,533
11	\$7,086
12	\$7,638

**For each additional household member, add \$552**

**Plans  
for SFY 2020**

State Plan drafts for the Community Services Block Grant (CSBG) and the Low-Income Home Energy Assistance Program (LIHEAP), are circulated to the Community Action Network each year where applicable, to solicit comments prior to the publication on the Department of Economic Security website, where the draft plans are posted for public inspection. This is to provide the Community Action Network an opportunity to provide input on the state plans while still in the development phase.

**Federal Fiscal Year 2020 Low-Income Home Energy Program State Plan Draft**

The draft Low-Income Home Energy Assistance Program (LIHEAP) Draft State Plan for FFY 2020 (attachment L1) is provided for Network review. The Community Services Block Grant (CSBG) State Plan is not included, as it is in the second year of a two-year plan and there are no changes for FFY 2020.

A matrix that outlines the modifications made from the FFY 2019 LIHEAP State Plan is also included (Attachment #L.A1).

The Division of Aging and Adult Services (DAAS) requests that the Network review the draft LIHEAP and CSBG State Plans and provide a single response on the matrix in the “CAP Network’s Comment” column no later than April 18, 2019. DAAS anticipates posting the revised draft of the LIHEAP State Plan for FFY 2020 on the Department of Economic Security’s Website for public inspection no later than May 1, 2019. Please ensure that all appropriate CAN staff is provided with this information

**Public Hearings**

Three public hearings will be held following the 30-day public inspection period. These have not been scheduled at this time. The dates and locations listed are tentative. DAAS will notify the Network and the general public via the DES website of confirmed dates.

<b>Date/Time</b>	<b>Location</b>	<b>Topic</b>
Phoenix June 2019 – day/time TBD	TBD	LIHEAP State Plan
Tucson June 2019 – day/time TBD	TBD	LIHEAP State Plan
Flagstaff July 2019 – day/time TBD	TBD	LIHEAP State Plan

Should you have any questions or require additional information, please contact Edward Chien, Community Action Program Manager, at 602-542-3269 or [echien@azdes.gov](mailto:echien@azdes.gov).

**DETAILED MODEL PLAN (LIHEAP)**

Program Name: Low Income Home Energy Assistance

Grantee Name: ARIZONA

Report Name: DETAILED MODEL PLAN (LIHEAP)

Report Period: 10/01/2019 to 09/30/2020

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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

<b>* 1.a. Type of Submission:</b> <input checked="" type="radio"/> Plan	<b>* 1.b. Frequency:</b> <input checked="" type="radio"/> Annual	<b>* 1.c. Consolidated Application/Plan/Funding Request?</b> Explanation:  <b>2. Date Received:</b> <b>3. Applicant Identifier:</b> <b>4a. Federal Entity Identifier:</b> <b>4b. Federal Award Identifier:</b>	<b>* 1.d. Version:</b> <input type="radio"/> Initial <input type="radio"/> Resubmission <input type="radio"/> Revision <input type="radio"/> Update State Use Only:  <b>5. Date Received by State:</b>  <b>6. State Application Identifier:</b>
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#### 7. APPLICANT INFORMATION

<b>* a. Legal Name:</b>			
<b>* b. Employer/Taxpayer Identification Number (EIN/TIN):</b>		<b>* c. Organizational DUNS:</b> 136730434	
<b>* d. Address:</b>			
* Street 1:	1789 WEST JEFFERSON 3RD FLOOR NW	Street 2:	P.O. BOX 6123
* City:	PHOENIX	County:	
* State:	AZ	Province:	
* Country:		* Zip / Postal Code:	85007
<b>e. Organizational Unit:</b>			
Department Name:		Division Name:	

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

Prefix:	* First Name: Shelley	Middle Name: L	* Last Name: Morgan
Suffix:	Title: LIHEAP Program Manager	Organizational Affiliation: Arizona Department Of Economic Security, Department of Aging and Adult Services	
* Telephone Number: (602) 542-6620	Fax Number:	* Email: <a href="mailto:smorgan@azdes.gov">smorgan@azdes.gov</a>	

#### \* 8a. TYPE OF APPLICANT:

<b>b. Additional Description:</b>
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#### \* 9. Name of Federal Agency:

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

#### 11. Descriptive Title of Applicant's Project

#### 12. Areas Affected by Funding:

#### 13. CONGRESSIONAL DISTRICTS OF:

<b>* a. Applicant</b>	<b>b. Program/Project:</b>
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Attach an additional list of Program/Project Congressional Districts if needed.

<b>14. FUNDING PERIOD:</b>		<b>15. ESTIMATED FUNDING:</b>	
<b>a. Start Date:</b> 10/01/2018	<b>b. End Date:</b> 09/30/2020	<b>* a. Federal (\$):</b>	<b>b. Match (\$):</b> \$0
<b>* 16. IS SUBMISSION SUBJECT TO REVIEW BY STATE UNDER EXECUTIVE ORDER 12372 PROCESS?</b>			
a. This submission was made available to the State under the Executive Order 12372			
Process for Review on :			
b. Program is subject to E.O. 12372 but has not been selected by State for review.			
c. Program is not covered by E.O. 12372.			
<b>* 17. Is The Applicant Delinquent On Any Federal Debt?</b>			
<input type="radio"/> YES <input checked="" type="radio"/> NO			
<b>Explanation:</b>			
<b>18. By signing this application, I certify (1) to the statements contained in the list of certifications** and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)</b> <b>**I Agree <input checked="" type="checkbox"/></b>			
** 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.			
<b>18a. Typed or Printed Name and Title of Authorized Certifying Official</b>		<b>18c. Telephone (area code, number and extension)</b>	
		<b>18d. Email Address</b>	
<b>18b. Signature of Authorized Certifying Official</b>		<b>18e. Date Report Submitted (Month, Day, Year)</b>	
<b>Attach supporting documents as specified in agency instructions.</b>			

## 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
<input checked="" type="checkbox"/>	Heating assistance	10/01/2019	09/30/2020
<input checked="" type="checkbox"/>	Cooling assistance	10/01/2019	09/30/2020
<input checked="" type="checkbox"/>	Crisis assistance	10/01/2019	09/30/2020
<input checked="" type="checkbox"/>	Weatherization assistance	10/01/2019	09/30/2020

**Provide further explanation for the dates of operation, if necessary**

Arizona has identified date ranges for heating and cooling, and has assigned a date range to each county for FFY 2019.

- 1) HEATING (November 1-March 31) and COOLING (April 1-October 31) for counties: Coconino, Yavapai, Navajo, Apache, Greenlee, Graham, Cochise, and Santa Cruz.
- 2) HEATING (December 1-March 31) and COOLING (April 1-November 30) for counties: Mojave, La Paz, Yuma, Maricopa, Gila, Pinal, and Pima.

Energy Related Repair (ERR) Crisis assistance Start date: 10/01/2020 or when funds are available, whichever is later. End date: 09/30/2021  
When a date of operation falls on a weekend or holiday the effective date will be the first business day following the listed date with the exception of 09/30. The last date of operation for the Federal Fiscal year is 09/30 or the last business in September if 09/30 is on a weekend.

**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	15.80%
Cooling assistance	34.20%
Crisis assistance	5.00%
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	2.00%
Used to develop special project for IT development and enhancement	3.00%
<b>TOTAL</b>	<b>100.00%</b>

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

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

<input type="checkbox"/>	Heating assistance	<input type="checkbox"/>	Cooling assistance
<input type="checkbox"/>	Weatherization assistance	<input checked="" type="checkbox"/>	Other (specify:) Support a year round crisis assistance program that includes heating and cooling

**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	<input checked="" type="radio"/> Yes <input type="radio"/> No					
SSI	<input checked="" type="radio"/> Yes <input type="radio"/> No					
SNAP	<input checked="" type="radio"/> Yes <input type="radio"/> No					
Means-tested Veterans Programs	<input type="radio"/> Yes <input checked="" type="radio"/> No					
	Program Name		Heating	Cooling	Crisis	Weatherization
Other(Specify) 1			<input type="radio"/> Yes <input checked="" type="radio"/> No			

**1.5 Do you automatically enroll households without a direct annual application?**  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?**

**A LIHEAP payment is made to the energy vendor or landlord (if utilities are included in the rent) on behalf of eligible households that meet income criteria and accumulate the required number of points.**

**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**

<input type="checkbox"/>	Once Per Year
<input type="checkbox"/>	Once every five years
<input checked="" type="checkbox"/>	Other - Describe: LIHEAP payments may distributed in incremental payments not to exceed the maximum LIHEAP payment amount of 1600 dollars which include both the regular LIHEAP and supplemental payments for incentive purposes with program waiver and approvals.

**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 ?**

<input checked="" type="checkbox"/>	Gross Income
<input type="checkbox"/>	Net Income

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

<input checked="" type="checkbox"/>	Wages
<input checked="" type="checkbox"/>	Self - Employment Income
<input checked="" type="checkbox"/>	Contract Income

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

<input type="checkbox"/>	<b>Income tax refunds</b>
<input type="checkbox"/>	<b>Stipends from senior companion programs, such as VISTA</b>
<input type="checkbox"/>	<b>Funds received by household for the care of a foster child</b>
<input type="checkbox"/>	<b>Ameri-Corp Program payments for living allowances, earnings, and in-kind aid</b>
<input type="checkbox"/>	<b>Reimbursements (for mileage, gas, lodging, meals, etc.)</b>
<input checked="" type="checkbox"/>	<b>Other</b> Cash gifts over \$50 are counted. Earned income of a child under the age of 18 is counted if the child is not a full-time student.

Please note the following regarding Medical expenses including but not limited to Medicare Part D payments will be considered for deductions from gross income. .

## Section 2 - HEATING ASSISTANCE

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

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

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

#### Section 2 - Heating Assistance

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

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

Add	Household size	Eligibility Guideline	Eligibility Threshold
1	6	State Median Income	60.00%
2	7	HHS Poverty Guidelines	150.00%

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

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

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

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

- Renters?**  Yes  No
- Renters Living in subsidized housing?**  Yes  No
- Renters with utilities included in the rent?**  Yes  No

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

- Elderly?**  Yes  No
- Disabled?**  Yes  No
- Young children?**  Yes  No
- Households with high energy burdens?**  Yes  No
- Other? Working Poor**  Yes  No

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

Eligibility points are given to households with elderly (60+ years old), disabled, children 6 years old and under, and working poor. A household may receive one point for each category, if eligible. Elderly participants in recertification programs may use a pre-register/pre-enrollment application process.

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

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

Eligibility points are given to households with elderly (60+ years old), disabled, children 6 years old and under, and working poor. A household may receive one point for each category, if eligible.

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

- Income**
- Family (household) size**
- Home energy cost or need:**
  - Fuel type**
  - Climate/region**
- Individual bill**

Dwelling type

Energy burden (% of income spent on home energy)

Energy need

Other - Describe:

Elderly, disabled, working poor, and households with children age 6 and under are given additional points for eligibility, which could increase the benefit level.

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

**2.6 Describe estimated benefit levels for FY 2019:**

<b>Minimum Benefit</b>	\$75	<b>Maximum Benefit</b>	\$800
------------------------	------	------------------------	-------

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

**If yes, describe.**

Service providers offer blankets, fire wood, wood pellets, and bottled propane when available.

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

## Section 3 - COOLING ASSISTANCE

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

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

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

#### Section 3 - Cooling Assistance

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

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

Add	Household size	Eligibility Guideline	Eligibility Threshold
1	6	State Median Income	60.00%
2	7	HHS Poverty Guidelines	150.00%

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

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

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

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

- Renters?**  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? Working poor**  Yes  No

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

Eligibility points are given to households with elderly (60+ years old), disabled, children 6 years old and under, and working poor. A household may receive one point for each category, if eligible. Elderly participants in recertification programs may use a pre-register/pre-enrollment application process, and may have their eligibility date adjusted to the beginning of the Federal Fiscal Year for ease of administration.

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

Elderly, disabled, working poor, and households with children age 6 and under are given additional points for eligibility, which could increase the benefit level.

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

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

- Income**
- Family (household) size**
- Home energy cost or need:**
  - Fuel type**
  - Climate/region**
- Individual bill**

<input type="checkbox"/> Dwelling type
<input checked="" type="checkbox"/> Energy burden (% of income spent on home energy)
<input checked="" type="checkbox"/> Energy need
<input type="checkbox"/> Other - Describe:

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

**3.6 Describe estimated benefit levels for FY 2019:**

<b>Minimum Benefit</b>	\$75	<b>Maximum Benefit</b>	\$800
------------------------	------	------------------------	-------

**3.7 Do you provide in-kind (e.g., fans, air conditioners) and/or other forms of benefits?**  Yes  No

**If yes, describe.**  
 Service providers may provide fans and other equipment when available.

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

## Section 4 - CRISIS ASSISTANCE

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

August 1987, revised 05/92,02/95,03/96,12/98,11/01  
OMB Clearance No.: 0970-0075  
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### LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP) MODEL PLAN SF - 424 - MANDATORY

#### Section 4: CRISIS ASSISTANCE

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

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

Add	Household size	Eligibility Guideline	Eligibility Threshold
1	6	State Median Income	60.00%
2	7	HHS Poverty Guidelines	150.00%

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

A crisis exists when a household faces an energy burden which depletes or threatens to deplete financial resources, or which poses a potential health and/or safety threat to the well-being of the household.

- A client is considered to be in crisis when the household has received a shutoff or eviction notice and/or is pending loss of energy. Eligible LIHEAP crisis applicants must be provided some type of assistance within 48 hours, as funding is (resources are)available.

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

When an eligible LIHEAP crisis client meets LIHEAP criteria and the household is considered to be in a life-threatening emergency per, but not limited to, the following criteria:

- The client can establish through medical documentation that, in the opinion of a licensed medical physician, termination of power, or exposure to heat or cold would be especially dangerous to the health of a client or a permanent resident residing on the client's premises.
- Life supporting equipment used in the home that is dependent on utility service for operation of such apparatus.
- A client is considered to be in a life-threatening crisis when the household has  
No heating or cooling  
No heating or cooling distribution
- And the air temperature is not a safe level and the household does not have an alternative or temporary heating or cooling source

##### 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?	<input checked="" type="radio"/> Yes <input type="radio"/> No
Disabled?	<input checked="" type="radio"/> Yes <input type="radio"/> No
Young Children?	<input checked="" type="radio"/> Yes <input type="radio"/> No
Households with high energy burdens?	<input checked="" type="radio"/> Yes <input type="radio"/> No
Other?	<input type="radio"/> Yes <input checked="" type="radio"/> 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 ?	<input type="radio"/> Yes <input checked="" type="radio"/> No
Must heating/cooling be medically necessary?	<input type="radio"/> Yes <input checked="" type="radio"/> No
Must the household have non-working heating or cooling equipment?	<input type="radio"/> Yes <input checked="" type="radio"/> No
Other?	<input type="radio"/> Yes <input checked="" type="radio"/> No
<b>Do you have additional / differing eligibility policies for:</b>	
Renters?	<input type="radio"/> Yes <input checked="" type="radio"/> No
Renters living in subsidized housing?	<input type="radio"/> Yes <input checked="" type="radio"/> No
Renters with utilities included in the rent?	<input type="radio"/> Yes <input checked="" type="radio"/> No

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

Although the point system is not used for LIHEAP supplemental assistance, the household must receive heating/cooling assistance either prior to or with the supplemental payment. The point system is utilized to determine the household's LIHEAP assistance and is not recalculated for the supplemental payment.

Energy Related Repair (ERR) is a Crisis program for heating or cooling systems that do not heat or cool, do not distribute heat or cooling, are mal-functioning or have a health and safety issues (such as producing carbon monoxide). Households must be homeowners as landlords are required to maintain heat or cooling in rental units.

If the regular LIHEAP benefit resolves a crisis, no Crisis funds are used. Some crisis situations need to use remaining regular LIHEAP benefits and Crisis funds to resolve the situation

Determination of Benefits

**4.8 How do you handle crisis situations?**

<input checked="" type="checkbox"/>	Separate component
<input type="checkbox"/>	Fast Track
<input checked="" type="checkbox"/>	Other - Describe: Crisis assistance is available to applicants who have already received non-crisis assistance within a twelve (12) month period. The applicant must have a shut-off, disconnect notice, or a notice that the utility has already been disconnected or an eviction notice if utilities are included in the rent.

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

<input type="checkbox"/>	Amount to resolve the crisis.
<input checked="" type="checkbox"/>	Other - Describe: Amount to resolve the crisis, up to a maximum of \$800.

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.

**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)**

**Mudy hv4.12 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	\$800.00 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

Service providers offer blankets, space heaters, portable AC units and fans when available.

**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	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Heating system replacement	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Cooling system repair	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Cooling system replacement	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Wood stove purchase	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Pellet stove purchase	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Solar panel(s)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Utility poles / gas line hook-ups	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other (Specify):	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**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.**

Several of Arizona's energy vendors enforce moratoriums with varying criteria. The largest energy vendors are represented below with their specific guidelines.

In accordance with Arizona Administrative Code 14-2-211(A)(5)(c) and 14-2-201(46), Arizona Public Service (APS) uses 32 degrees Fahrenheit as the point in which they stop disconnections for non-payment for low temperatures. In addition, APS also developed an internal business process where disconnections are suppressed for Non-payment when high heat stress indexes are present, as determined by the Phoenix Heat Alert website that relies on heat and humidity predictions from the National Oceanic and Atmospheric Administration (NOAA).

Southwest Gas (SWG) tariff is prohibited from performing shutoffs during periods of time where weather will be especially dangerous to one's health. These weather conditions are defined as that period of time commencing with the scheduled determination date when the local weather forecast, as predicted by NOAA, indicates that the temperature will not exceed 32 degrees Fahrenheit for the next day's forecast. The Corporation Commission may determine that other weather conditions are especially dangerous to one's health as the need arises.

Salt River Project (SRP) self-initiates moratoriums in the winter and summer based on weather conditions. The duration of the self-initiated moratorium fluctuates based on weather conditions. The criteria for moratoriums are extreme cold temperatures or excessive heat warnings issued but the National Weather Service.

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

## Section 5 - WEATHERIZATION ASSISTANCE

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

August 1987, revised 05/92,02/95,03/96,12/98,11/01  
OMB Clearance No.: 0970-0075  
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### LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP) MODEL PLAN SF - 424 - MANDATORY

#### Section 5: WEATHERIZATION ASSISTANCE

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

**5.1 Designate the income eligibility threshold used for the Weatherization component**

Add	Household Size	Eligibility Guideline	Eligibility Threshold
1	All Household Sizes	HHS Poverty Guidelines	200.00%

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

**5.3 If yes, name the agency.** Arizona Department of Housing

**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:**

Weatherization Measures are not subject to DOE Savings to Investment Ration (SIR) Standards.

- 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	<input type="radio"/> Yes <input checked="" type="radio"/> No
Renters living in subsidized housing?	<input type="radio"/> Yes <input checked="" type="radio"/> No

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

Elderly?	<input checked="" type="radio"/> Yes <input type="radio"/> No
Disabled?	<input checked="" type="radio"/> Yes <input type="radio"/> No
Young Children?	<input checked="" type="radio"/> Yes <input type="radio"/> No

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

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

Elderly, disabled, working poor, and households with children age 6 and under are given additional points for eligibility, which could increase the benefit level.

**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? \$10,000 (rolling)

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

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

<input checked="" type="checkbox"/> Weatherization needs assessments/audits	<input checked="" type="checkbox"/> Energy related roof repair
<input checked="" type="checkbox"/> Caulking and insulation	<input checked="" type="checkbox"/> Major appliance Repairs
<input checked="" type="checkbox"/> Storm windows	<input checked="" type="checkbox"/> Major appliance replacement
<input checked="" type="checkbox"/> Furnace/heating system modifications/ repairs	<input checked="" type="checkbox"/> Windows/sliding glass doors
<input checked="" type="checkbox"/> Furnace replacement	<input checked="" type="checkbox"/> Doors
<input checked="" type="checkbox"/> Cooling system modifications/ repairs	<input checked="" type="checkbox"/> Water Heater
<input checked="" type="checkbox"/> Water conservation measures	<input checked="" type="checkbox"/> Cooling system replacement
<input checked="" type="checkbox"/> Compact florescent light bulbs	<input checked="" type="checkbox"/> Other - Describe: Please see attachment 5A for full explanation.

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

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

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

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

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

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

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

Service providers periodically hold mass intake events.

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

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

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

August 1987, revised 05/92, 02/95, 03/96, 12/98, 11/01  
OMB Clearance No.: 0970-0075  
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### LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP) MODEL PLAN SF - 424 - MANDATORY

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

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

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

The Arizona Department of Economic Security will continue its policy of cooperation, coordination, and information exchange with the Arizona Department of Housing and Federal Resources, LIHEAP Provider Agencies, Community Services Block Grant providers, Social Security Administration, and any other Energy Programs in order to minimize duplication of services and maximize services available to eligible clients. This cooperation is in the form of both formal and informal meetings, coordination of contracting procedures and contractors, exchange of significant correspondence, and joint planning. Currently, the same Executive Director administers the Community Services, Social Services, and Low Income Home Energy Assistance Program Block Grants. Coordination between LIHEAP, CSBG and TANF Block Grants occurs on a regular basis to ensure that the needs of the low-income households are addressed. The LIHEAP Weatherization Program is administered by the Arizona Department of Housing.

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

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

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

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

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

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

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

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

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

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

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

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

8.5 LIHEAP Component Administration.	Heating	Cooling	Crisis	Weatherization
<b>8.5a Who determines client eligibility?</b>	Local City Government Local County Government Community Action Agencies Non-profits			
<b>8.5b Who processes benefit payments to gas and electric Vendors?</b>	Local City Government Local County Government Community Action Agencies Non-profits	Local City Government Local County Government Community Action Agencies Non-profits	Local City Government Local County Government Community Action Agencies Non-profits	
<b>8.5c who processes benefit payments to bulk fuel Vendors?</b>	Local City Government Local County Government Community Action Agencies Non-profits	Local City Government Local County Government Community Action Agencies Non-profits	Local City Government Local County Government Community Action Agencies Non-profits	
				Local City Government

8.5d Who performs installation of weatherization measures?

[Redacted]

Local County Government  
Community Action Agencies  
Non-profits

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

8.6 What is your process for selecting local administering agencies?

In FFY 2018, there are 12 LIHEAP Providers, which consist of 11 Community Action Agencies, which are awarded as LIHEAP Providers due to the 2003 Procurement Code change that exempts Community Action Agencies (A.R.S. 41-2501) and Tohono O'Odham Nation, who is a LIHEAP sub-grantee.

8.7 How many local administering agencies do you use? 12

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

Yes

No

8.9 If so, why?

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

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

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### LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP) MODEL PLAN

#### 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.

Service providers make payments directly to Energy Suppliers on behalf of the client.

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

Clients are notified by Service Providers via an approval letter of the amount paid on their behalf.

##### 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?

Energy suppliers will, through their normal billing process, apply the Energy Assistance Payments to the approved household's account, just as any other payment would be applied.

##### 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?

The State requires local service providers to obtain written agreements from energy suppliers to meet this assurance.

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

Yes  No

If so, describe the measures unregulated vendors may take.

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

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

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

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

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

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

The Arizona Department of Economic Security assures that fiscal control and fund accounting procedures are established to assure the proper accounting of their disbursement of federal funds paid to the state under this program, including procedures for monitoring the assistance provided under this title, and that the Arizona Auditor General's Office includes LIHEAP in its audit of program expenditures in accordance with the Single Audit Act of 1984.

**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

**10.4. Audits of Local Administering Agencies**

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

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

**Compliance Monitoring**

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

**Grantee employees:**

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

**Local Administering Agencies / District Offices:**

- On - site evaluation
- Annual program review

**Monitoring through central database**

**Desk reviews**

**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.**

Schedule--Monitoring of Service Providers will occur at least once every three years. Any Service Provider that has a particular problem will be given technical assistance until the problem is resolved.

Focus--Monitoring focuses on the following areas: program, fiscal, policy, and general contract requirements. Monitoring may occur through a desk review of materials or on-site monitoring. Weatherization monitoring encompasses the aforementioned areas, plus on site quality control inspection of weatherized homes. Monitoring visits are also used for contractor training and technical assistance as required. Monitoring relates to Service Providers' separate evaluations of internal controls, such as control self-assessments or internal procedures and performance. Internal monitoring processes shall be practiced by Service Providers. LIHEAP Service Providers have a responsibility to monitor and be monitored for compliance with program requirements.

The Arizona Department of Economic Security monitors Service Providers' compliance with all requirements of federal, state, and local laws, the contractual requirements, and directives in the policy manual. The Service Provider shall cooperate in the evaluation of contracted services. The evaluation may assess the Service Provider's progress and/or success in achieving the goals, objectives, and deliverables set forth in their contract related to LIHEAP.

Protocol--The Arizona Department of Economic Security shall provide the Service Provider with the request for needed documents, such as case management files, and fiscal and administrative records, at least one week prior to the scheduled monitoring date. Regarding unscheduled monitoring, the Arizona Department of Economic Security may request needed documents while on site without prior notice. The Arizona Department of Economic Security will communicate recommendations of findings with key personnel and provide the opportunity for clarification, and will provide written results of the monitoring within a reasonable amount of time.

The Service Provider will ensure that key personnel are available for discussion during the scheduled monitoring and that the requested records are available and in order beginning on the first day of the scheduled on-site monitoring visit. It is the Arizona Department of Economic Security's expectation that the monitoring will begin at the agreed date and time for scheduled monitoring.

Service Providers' management should identify priority activities within the organization for risk assessment (e.g., assets, liabilities, revenues, expenses or expenditures account balances that are material in dollar amount).

The On-site monitoring visit will include the following activities:

The interview should include the Arizona Department of Economic Security Contract Specialist, Arizona Department of Economic Security Program Specialist, and the Service Provider's Program Manager. It may include other Arizona Department of Economic Security and Service Provider staff upon request of the Arizona Department of Economic Security's Contract Specialist, Arizona Department of Economic Security Program Specialist, or at the discretion of the Service Provider. The entrance interview will describe the monitoring activities that will take place, review the monitoring process, and schedule interviews with other Service Provider staff, as requested by the Arizona Department of Economic Security monitoring team.

On-site compliance monitoring will consist of a program review, with follow-up questions appropriate to the local situation. In order to complete the compliance monitoring, the Arizona Department of Economic Security Contract Specialist and/or the Arizona Department of Economic Security Program Specialist will interview the Service Provider Program Manager, the Fiscal Director, the position responsible for outreach activities, and any other staff whose work is integral to the program, as well as applicants.

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

**Site Visits:**

Service providers are monitored at least once every three years. If there are concerns related to a specific Service Provider's operations or if they score high on the risk assessment tool, that Provider would be a priority for monitoring.

**Desk Reviews:**

Desk reviews are conducted on a monthly basis for financial and contract compliance.

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

Service providers are monitored at least once 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? 0**

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

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

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

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

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

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

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

Stakeholder comments were incorporated into this draft, including revising the document verification sections to more closely align with Service Providers' processes.

**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. TBA 2. TBA 3. TBA.	1. TBA – 10:30am to 12:00pm 2. TBA – 12:00pm to 1:30pm 3. TBA – 11:30am to 1:00pm	Public Hearings to be held: 1. Phoenix, Arizona 2. Southern, AZ 3. Northern, AZ

**11.4. How many parties commented on your plan at the hearing(s)?** 0

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

4. TBA

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

No changes were made to the LIHEAP State Plan as a result of the hearing comments for that FFY 2020.

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

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

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

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

### 12.2 How many of those fair hearings resulted in the initial decision being reversed? 1

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

Policy was adjusted to reflect the most current federal policy change regarding the I-551 stamp:

- 1) Temporary I-551 Admission Stamp - Eligible when the key phrase reads one of the following:
  - a) "Admission for Permanent Residence at: a machine-readable immigrant visa (MRIV) usually has the following text on it: "UPON ENDORSEMENT SERVES AS TEMPORARY I-551 EVIDENCING PERMANENT RESIDENCE FOR 1 YEAR."

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

Fair Hearing procedure is in place within the Arizona Department of Economic Security (DES), Division of Aging and Adult Services (DAAS), Community Action Programs and Services Administration, and the Community Action Agencies (CAAs). Clients will be notified at time of application of their right to appeal.

Step 1: An opportunity to file a request for fair hearing regarding any adverse action shall be granted by the CAA to any applicant/recipient who requests a hearing because his or her benefit assistance is denied, delayed, discontinued, suspended, or terminated. The applicant/recipient must, within 3 working days, provide in writing a statement of the grounds for the hearing. The request must be submitted to the CAA within 10 working days after the mailing date on the decision letter. The CAA receiving the grievance will make all efforts to resolve the issues within 10 working days of the request.

Step Two: In the event the applicant/recipient wishes to appeal the decision of the CAA, the applicant/recipient may, within 10 working days of receiving the CAA decision letter, appeal in writing to the Arizona Department of Economic Security Assistant Director. The Assistant Director will assign the appropriate personnel to conduct the hearing. A decision will be provided within 30 working days of the appeal letter.

Step Three: In the event the applicant/recipient wishes to appeal the decision of the Arizona Department of Economic Security Assistant Director, the applicant/recipient may, within 10 working days of receiving the Arizona Department of Economic Security Assistant Director's decision letter, request, in writing, a fair hearing from the Department of Economic Security. The Department will be responsible for conducting the hearing and providing a decision within 60 days of the request, in accordance with Arizona Administrative Code R6-5-2404.

Step Four: In the event the applicant/recipient wishes to appeal the decision of the Department of Economic Security, the applicant/recipient may, within 10 working days of receiving the Department of Economic Security's decision letter, request in writing a fair hearing from the Department of Health and Human Services, Office of Community Services in Washington, D.C. The Department of Health and Human Services, Office of Community Services in Washington, D.C. will be responsible for providing a decision within 60 days of the request.

### 12.5 When and how are applicants informed of these rights?

Applicants are informed of the right to a fair hearing through notices posted in the Service Providers' waiting areas and in writing and verbally during their initial intake appointment. Applicants are informed through a written notice either included in the packet provided prior to the intake appointment or during the intake appointment.

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

See policy instructions in found in 12.4 for clarification

**12.7 When and how are applicants informed of these rights?**

Applicants are informed of the right to a fair hearing through notices posted in Service Providers' waiting areas and in writing and verbally during their initial intake appointment. Applicants are informed through a written notice either included in the packet provided prior to the intake appointment or during the intake appointment.

**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?**

Service Providers offer energy reduction education through various methods such as brochures, instructing applicants during the application process regarding energy education. Additionally providing in-house tutorial videos presented in waiting areas, and/or classes about energy education.

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

To ensure that no more than 5 percent of LIHEAP funding is used for Assurance 16 purposes, the Arizona Department of Economic Security utilizes fiscal and program controls, including fund accounting procedures, to ensure that Service Providers abide by federal guidelines.

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

The Arizona Department of Economic Security has not collected impact data on Assurance 16 activities for FFY 2018; however, we are currently working on redesigning the program with impact measures in mind, which will be included in future reports.

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

FFY 2018 data is not finalized; however, the data is forthcoming in the Performance Data Form. No direct monetary benefits have been issued to households using Assurance 16 funds during FFY 2018.

**13.5 How many households applied for these services? Applicants do not apply for these services. Clients are offered the education during their intake appointment.**

**13.6 How many households received these services? 5559**

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

## Section 14 - Leveraging Incentive Program, 2607A

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#### Section 14:Leveraging Incentive Program, 2607(A)

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

Yes  No

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

When funding is made available, a request for submittal is emailed to the Service Providers along with all pertinent attachments (blank leveraging report and previous year report/reports submitted, if applicable) with a deadline to submit all leveraging resource reports by October 15th.

**14.3 For each type of resource and/or benefit to be leveraged in the upcoming year that will meet the requirements of 45 C.F.R. 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	Arizona Community Action Association (ACAA) Â Utility Repair, Replace and Deposit Program (URRD)	URRD funds are used by community action agencies in coordination with LIHEAP for deposits, and repairs, or replacements of energy related appliances and systems.	Coordination of benefits consistent with 45 CFR 96.87(d)(2)(iii)(E).
2	Arizona Community Action Association (ACAA) Â Home Energy Assistance Fund	This resource provides energy assistance to eligible low income households statewide.	Coordination of benefits consistent with 45 CFR 96.87(d)(2)(iii)(A)
3	Arizona Public Service (APS)	Provides a discount to households based on electricity usage for each month.	Coordination of benefits consistent with 45 CFR 96.87(d)(2)(iii)(D).
4	APS/Community Action Partnership	APS provides funding for materials, supplies and repairs to low income homeowners for weatherization. Funds are also used to provide utility assistance payments for gas and electric to LIHEAP eligible households.	Coordination of benefits consistent with 45 CFR 96.87(d)(2)(iii)(A).
5	City of Phoenix Water Fund (Project Assist)	The Project Assist dollars are used in conjunction with LIHEAP funds to assist low income families in addressing their utility and water needs.	N/A
6	City of Scottsdale Utility Assistance Program	Funds are used to provide emergency utility assistance to low income families.	Coordination of benefits consistent with 45 CFR 96.87(d)(2)(iii)(A).
7	City of Tucson Â Low Income Assistance Program	Funds are used to provide a discount to low income households with water bills.	Coordination of benefits consistent with 45 CFR 96.87(d)(2)(iii)(A)
8	Coconino County General Funds (Not State General Funds)	Funds are used to provide low income Coconino County residents with financial assistance with utility bills in conjunction with LIHEAP.	Coordination of benefits consistent with 45 CFR 96.87(d)(2)(iii)(A, C and E).
9	Donations to Agency	The resource provides funds to the Community Action Human Resources Agency (CAHRA),	N/A

		LIHEAP provider, for utility assistance to low income households.	
10	Neighbors Helping Neighbors	Funds for Home Energy Assistance available statewide. Funds are received through a voluntary State Tax check off.	Coordination of benefits consistent with 45 CFR 96.87(d)(2)(iii)(E).
11	Pima County General Fund -Utility Assistance	Funds are used to provide low income Pima County residents with financial assistance with utility bills in conjunction with LIHEAP.	N/A
12	Salt River Project (SRP) Bill Assistance Program	This resource provides funds to meet the energy affordability needs of low income clients.	Coordination of benefits consistent with 45 CFR 96.87(d)(2)(iii)(A).
13	SRP - Economy Price Plan	Provides a discount to households based on monthly electricity usage. The LIHEAP Grantee and Arizona Community Action Association met with SRP to discuss the expansion of the utility discount program to all low income households rather than only seniors. All low income households at 150 percent of poverty may apply for the discount. A LIHEAP eligibility criterion was incorporated with this resource.	N/A

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

## Section 15 - Training

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#### Section 15: Training

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

**a. Grantee Staff:**

**Formal training on grantee policies and procedures**

**How often?**

**Annually**

**Biannually**

**As needed**

**Other - Describe:**

**Employees are provided with policy manual**

**Other-Describe:**

Arizona Department of Economic Security LIHEAP Staff receives formal training from the Office of Community Services and National Energy Assistance Directors Association.

**b. Local Agencies:**

**Formal training conference**

**How often?**

**Annually**

**Biannually**

**As needed**

**Other - Describe:** Service Providers also attend various National, OCS, and other LIHEAP training via conferences at their discretion.

**On-site training**

**How often?**

**Annually**

**Biannually**

**As needed**

**Other - Describe:**

**Employees are provided with policy manual**

**Other - Describe**

**c. Vendors**

**Formal training conference**

**How often?**

**Annually**

**Biannually**

**As needed**

**Other - Describe:**

**Policies communicated through vendor agreements**

**Policies are outlined in a vendor manual**

**Other - Describe:**

Vendors are provided with current LIHEAP Policy Manuals. Questions and concerns are communicated verbally and via email.

**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.**

The State of Arizona uses a proprietary system-in-house to complete the LIHEAP Performance Measures Data Collection goals. The State of Arizona implemented the new reporting system in SFY 2019 and reported FFY 2018 data in March 2018. The State of Arizona will utilize the same proprietary for FFY 2020 and reported on January 1, 2021.

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

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

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES  
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### LOW INCOME HOME ENERGY ASSISTANCE PROGRAM(LIHEAP) MODEL PLAN SF - 424 - MANDATORY

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

##### 17.1 Fraud Reporting Mechanisms

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

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

A dedicated fraud reporting hotline is in place for statewide fraud abuse and is not specific to LIHEAP

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

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

##### 17.2. Identification Documentation Requirements

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

Type of Identification Collected	Collected from Whom?					
	Applicant Only		All Adults in Household		All Household Members	
Social Security Card is photocopied and retained	<input type="checkbox"/>	Required	<input type="checkbox"/>	Required	<input type="checkbox"/>	Required
	<input type="checkbox"/>	Requested	<input type="checkbox"/>	Requested	<input type="checkbox"/>	Requested
Social Security Number (Without actual Card)	<input checked="" type="checkbox"/>	Required	<input checked="" type="checkbox"/>	Required	<input checked="" type="checkbox"/>	Required
	<input type="checkbox"/>	Requested	<input type="checkbox"/>	Requested	<input type="checkbox"/>	Requested
Government-issued identification card (i.e.: driver's license, state ID, Tribal ID, passport, etc.)	<input checked="" type="checkbox"/>	Required	<input checked="" type="checkbox"/>	Required	<input checked="" type="checkbox"/>	Required
	<input type="checkbox"/>	Requested	<input type="checkbox"/>	Requested	<input type="checkbox"/>	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	Other documents that State uses for identification verification are; wage stubs, work and school identification cards, Arizona State Driver's License and identification cards, birth certificates, birth records, Certificates of Indian Blood (CIBs), tribal identification cards, housing authority (section 8) documents, social security cards and documents, family census cards, health benefit identification cards, social service program documents or cards, passports, legal permanent residence documents, tax returns and voter registration cards.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

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

Some Service Providers verify SSNs with the State eligibility/management system (e.g. SNAP, TANF).

**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 WorkNumber)
- 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:

Some Service Providers verify SSNs with the State eligibility/management system (e.g. SNAP, TANF).

**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:

Some Service Providers verify Citizenship/Legal Residency Status with the State eligibility/management system (e.g. SNAP, TANF).

**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:

Clients must provide verification for unearned income. Agencies require documentation of income for all adult household members and persons age 16 or above who are not full-time students. Agencies may, at their discretion, accept a participant statement as verification for income when the client has attempted but is unable to provide the verification, no other source of verification is available, and agency staff have attempted to assist in obtaining the verification on behalf of the client. When a partial month of check stubs is available, the documents available will be used to calculate the income received during the period lacking documentation.

Computer data matches:

Income information matched against state computer system (e.g., SNAP, TANF)

Proof of unemployment benefits verified with state Department of Labor

Social Security income verified with SSA

Utilize state directory of new hires

Other - Describe:

#### 17.6. Protection of Privacy and Confidentiality

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

Policy in place prohibiting release of information without written consent

Grantee LIHEAP database includes privacy/confidentiality safeguards

Employee training on confidentiality for:

Grantee employees

Local agencies/district offices

Employees must sign confidentiality agreement

Grantee employees

Local agencies/district offices

Physical files are stored in a secure location

Other - Describe:

#### 17.7. Verifying the Authenticity

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

All vendors must register with the State/Tribe.

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

Vendors are verified through energy bills provided by the household

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

Other - Describe and note any exceptions to policies above:

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

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

Applicants required to submit proof of physical residency

Applicants must submit current utility bill

Data exchange with utilities that verifies:

Account ownership

Consumption

Balances

Payment history

Account is properly credited with benefit

Other - Describe:

- Centralized computer system/database tracks payments to all utilities
- Centralized computer system automatically generates benefit level
- Separation of duties between intake and payment approval
- Payments coordinated among other energy assistance programs to avoid duplication of payments
- Payments to utilities and invoices from utilities are reviewed for accuracy
- Computer databases are periodically reviewed to verify accuracy and timeliness of payments made to utilities
- Direct payment to households are made in limited cases only
- Procedures are in place to require prompt refunds from utilities in cases of account closure
- Vendor agreements specify requirements selected above, and provide enforcement mechanism
- Other - Describe:

Some Service Providers utilize computer databases to periodically review and verify accuracy and timeliness of payments made to utilities.

#### 17.9. Benefits Policy - Bulk Fuel Vendors

What procedures are in place for averting fraud and improper payments when dealing with bulk fuel suppliers of heating oil, propane, wood, and other bulk fuel vendors? Select all that apply.

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

Service Providers directly pay vendors and keep accounting records which are monitored by the Arizona Department of Economic Security to avert fraud and improper payments.

#### 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.

- Refer to state Inspector General
- Refer to local prosecutor or state Attorney General
- Refer to US DHHS Inspector General (including referral to OIG hotline)
- Local agencies/district offices or Grantee conduct investigation of fraud complaints from public
- 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.

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

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

Instructions for Certification

- 1. By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.**
- 2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.**
- 3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.**
- 4. The prospective primary participant shall provide immediate written notice to the department or agency to which this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.**
- 5. The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.**
- 6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.**
- 7. The prospective primary participant further agrees by submitting this proposal that it**

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

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

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

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

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

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

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

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

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

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

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

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

Instructions for Certification

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or had become erroneous by reason of changed circumstances.
4. The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meaning set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
- 5. The prospective lower tier participant agrees by submitting this proposal that, [[Page 33043]] should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.**
- 6. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled ``Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.**
- 7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from covered transactions, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.**

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

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

**Certification Regarding Debarment, Suspension, Ineligibility 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

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

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

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

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

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

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

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

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

#### Certification Regarding Drug-Free Workplace Requirements

##### Alternate I. (Grantees Other Than Individuals)

The grantee certifies that it will or will continue to provide a drug-free workplace by:

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

(f) Taking one of the following actions, within 30 calendar days of receiving notice under paragraph (d)(2), with respect to any employee who is so convicted - (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

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

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

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

\* Address Line 1

Address Line 2

Address Line 3

\* City

\* State

\* Zip Code

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

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

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

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

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

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

## Section 20: Certification Regarding Lobbying

### Section 20: Certification Regarding Lobbying

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

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

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

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

#### Statement for Loan Guarantees and Loan Insurance

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

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

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

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## Assurances

### Assurances

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

**(A) conduct outreach activities and provide assistance to low income households in meeting their home energy costs, particularly those with the lowest incomes that pay a high proportion of household income for home energy, consistent with paragraph (5);**

**(B) intervene in energy crisis situations;**

**(C) provide low-cost residential weatherization and other cost-effective energy-related home repair;and**

**(D) plan, develop, and administer the State's program under this title including leveraging programs, and the State agrees not to use such funds for any purposes other than those specified in this title;**

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

**(A) households in which one or more individuals are receiving--**

**(i) assistance under the State program funded under part A of title IV of the Social Security Act;**

**(ii) supplemental security income payments under title XVI of the Social Security Act;**

**(iii) food stamps under the Food Stamp Act of 1977; or**

**(iv) payments under section 415, 521, 541, or 542 of title 38, United States Code, or under section 306 of the Veterans' and Survivors' Pension Improvement Act of 1978; or**

**(B) households with incomes which do not exceed the greater of -**

**(i) an amount equal to 150 percent of the poverty level for such State; or**

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

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

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

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

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

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

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

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

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

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

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

**(8) provide assurances that,**

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

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

**(9) provide that--**

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

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

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

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

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

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

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

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

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

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

## 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.**
- **Benefit matrix for benefits up to 640 dollars, applicable**
- **Benefit matrix for benefits up to 800 dollars, if applicable**
- **Attachment detailing weatherization protocols including but not limited to a rolling average of 10, 000 dollars per household unit.**
- **This category is reserved for LIHEAP purposes. The funds will be set aside for organizational capacity building. Attachment detailing LIHEAP IT Special Projects.**
- **Minutes, notes, or transcripts of public hearing(s). Attachment detailing public hearing results.**



STATE OF ARIZONA  
OFFICE OF THE GOVERNOR

DOUGLAS A. Ducey  
GOVERNOR

EXECUTIVE OFFICE

August 17, 2015

Ms. Jeannie Chaffin  
Director, U.S. Department of Health and Human Services  
Administration for Children and Families  
Office of Community Services, Division of Energy Assistance  
Aerospace Building, 5<sup>th</sup> Floor West  
370 L'Enfant Promenade, S.W.  
Washington, DC 20447

Dear Ms. Chaffin,

I, Governor Douglas A. Ducey, delegate my authority to the Department of Economic Security Director to certify to the 16 assurances outlined in the Low Income Home Energy Assistance Act of 1981, as amended, and otherwise perform all necessary functions to properly administer the Low Income Home Energy Assistance Program and the Community Service Block Grant Program. The Director's address and telephone number are:

Director  
Arizona Department of Economic Security  
P.O. Box 6123  
Site Code 010A  
Telephone: (602) 542-5757

If you have any questions, please the Office of the Assistant Director, Division of Aging and Adult Services, at (602) 542-4446.

A handwritten signature in black ink that reads "Douglas A. Ducey".

Douglas A. Ducey Governor  
State of Arizona

## **Attachment 5A**

Allowable measures for Low-Income Home Energy Assistance Program (LIHEAP) will include but not limited to:

- Air /envelope sealing
- Duct sealing
- Insulation
- Base load measures
- Hvac systems
- Refrigerators
- Gas stove with high co readings
- Domestic water heaters, (gas, electric or propane)
- Weather-stripping of doors and windows
- Health and safety needs of clients

Repair or replacing existing gas kitchen ranges due to advanced age and deteriorated condition such as ranges that have electronic intermittent ignition features and complies with all applicable codes for gas kitchen ranges.

If conversion from propane to electric range is needed, prior approval is required from the Arizona Department of Housing Conversion.

Gas domestic hot water heaters, especially tankless units, tend to be more efficient and cheaper to operate than electric. Conversion from electric water heating to natural gas water heating where the natural gas has available to the property line is allowable, only if the household size is two or more occupants.

Conversion of propane heating with A/C to a Heat Pump shall be allowable, but only with prior approval from the ADOH.

Conversion of propane heating to electric heat resistances shall be allowable, but only with prior approval from the ADOH.

ADOH may now use a 10,000 dollar rolling average for LIHEAP designated weatherization funds per household unit.

# Arizona Cool/Heating Component Benefit Matrix 2019

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Payment guidelines are based upon income, energy burden and energy need. Priority points are given to households with the lowest income, highest energy burden and energy need. Households, which meet these criteria, are eligible for higher benefits.

1. Poverty: Based on 60 percent of State Median Income for household sizes of one through six. For households of seven or more percentages will be based on 150 percent of the Federal Poverty guidelines.

<u>Percent of Poverty</u>	<u>Points Applied</u>
0% - 25%	5 points
26% - 50%	4 points
51% - 50%	3 points
76% - 100%	2 points

2. Energy Burden

<u>Percent of Energy Burden</u>	<u>Points Applied</u>
5% - or less	0 points
6% - 10%	3 points
11% - 15%	4 points
16% - 20%	5 points
21% - Higher	6 points

3. Energy Need

<u>Percent of Energy Need</u>	<u>Points Applied</u>
Elderly	1 point
Disabled	1 point
Child age 6 and under in Household	1 point
Working Poor	1 point

<u>Total Points Applied</u>	<u>Payment Levels</u>
1 - 2	\$ 75 - \$160
3 - 6	\$ 125 - \$320
7 - 11	\$ 321 - \$480
12 - 14	\$ 481 - \$640
15 and up	\$ 641 - \$800 maximum

Attachment SFY 20 L A.1

LIHEAP FFY 2020 State Plan Draft Matrix

A draft of the FFY 2020 State Plan is included for review.

Section	Plan Modifications	CAP Network's Comment	DES Response/Changes
<p><b>Section 1:</b>  <b>1.1 Provide further explanation for the dates of operation,</b></p>	<p><b>Added the following Language:</b>            Energy Related Repair (ERR) Crisis assistance Start date: 10/01/2020 or when funds are available, whichever is later. End date: 09/30/2021</p>		
<p><b>Section 1:</b>  <b>1.7c Frequency of Assistance</b></p>	<p><b>1.7c Added the following language:</b>            Other - Describe: LIHEAP payments may be distributed in incremental payments not to exceed the maximum LIHEAP payment amount of 1600 dollars which include both the regular LIHEAP and supplemental payments for incentive purposes with program waiver and approvals.</p>		
<p><b>Section 2:</b>  <b>2.3 Explanations of policies for each "yes" checked above:</b></p>	<p>Removed the following language:            Service providers offer blankets, fire wood, wood pellets, and similar in-kind benefits. <del>bottled propane when available.</del></p>		

## LIHEAP FFY 2018 State Plan Draft Matrix

<p><b>Section 3:</b></p> <p><b>3.7 Do you provide in-kind (e.g., fans, air conditioners) and/or other forms of benefits?</b></p>	<p>Added the following language:</p> <p>Service providers may provide fans <b>and other equipment when available.</b></p>		
<p><b>Section 4:</b></p> <p><b>4.3 Life Threatening Crisis:</b></p>	<p>Added the following language:</p> <ul style="list-style-type: none"> <li>• <b>A client is considered to be in a life-threatening crisis when the household has</b> <ul style="list-style-type: none"> <li><b>No heating or cooling</b></li> <li><b>No heating or cooling distribution</b></li> </ul> </li> </ul> <p><b>And the air temperature is not a safe level and the household does not have an alternative or temporary heating or cooling source</b></p>		

## LIHEAP FFY 2018 State Plan Draft Matrix

<p><b>Section 4: 4.7 Explanations of policies for each "yes" checked above:</b></p>	<p>Section 4.7 <b>Energy Related Repair (ERR)</b> is a Crisis program for heating or cooling systems that do not heat or cool, do not distribute heat or cooling, are mal-functioning or have a health and safety issues (such as producing carbon monoxide). Households must be homeowners as landlords are required to maintain heat or cooling in rental units.</p> <p>If the regular LIHEAP benefit resolves a crisis, no Crisis funds are used. Some crisis situations need to use remaining regular LIHEAP benefits and Crisis funds to resolve the situation</p>		
<p><b>Section 4: 4.9 If you have a separate component, how do you</b></p>	<p>Section 4.9 Raised the crisis benefit from 500 to 800 dollars to match maximum benefits for regular LIHEAP payments.</p>		

## LIHEAP FFY 2018 State Plan Draft Matrix

<p><b>Section 4:</b></p> <p><b>4.13 Do you provide in-kind (e.g. blankets, space heaters, fans) and/or other forms of benefits?</b></p>	<p>Section 4.13 Service providers offer blankets, space heaters, portable AC units and fans when available</p>		
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