



DEPARTMENT OF ECONOMIC SECURITY

Your Partner For A Stronger Arizona

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Governor

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Director

July 2, 2020

To: Community Action Network  
From: Frank Migali  
DES Deputy Assistant Director of Community Services Programs  
Division of Aging and Adult Services  
Subject: State Fiscal Year (SFY) 2021: Low Income Home Energy Assistance Program (LIHEAP) Policy Manual - Updated for SFY 2021; Short Term Crisis Services (STCS), Policy Manual – Updated for SFY 2021.

The following ALERTS are attached:

<u>ALERT</u>	<u>FUND SOURCE/TYPE</u>
ALERT SFY 21-J	Updated Policy Manuals: LIHEAP Policy Manual SFY 2021 and STCS Policy Manual SFY 2021
ALERT SFY 21 K1.A2	Attachment to LIHEAP Policy: SFY 2021 LIHEAP Only Income Eligibility and Energy Points Chart

ALERTS are available on the DAAS Website using the link: <https://des.az.gov/services/aging-and-adult/division-aging-and-adult-services/alerts-arizona-division-aging-and-adult>. Community Action Network ALERTs are located approximately halfway down the webpage.

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: Molly McCarthy, Frank Migali, Rebecca Clayton, Shelley Morgan, Edward Chien, Diana Gravett, Cynthia Saverino, Bridget Casey, and DAAS file



**Policy and Procedures  
for SFY 2021**

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.

**Low Income Home Energy Assistance Program (LIHEAP) Policy Manual**

**Background**

This manual is an updated version of DES/DAAS LIHEAP policy for use by provider agencies.

**Summary**

This updated manual includes LIHEAP policy clarifications and updates regarding categorical eligibility, countable income, benefit levels, citizenship, and qualified immigrant status, including waiting periods, intake, and eligibility. This manual covers the policy and procedures for regular LIHEAP and does not encompass the additional funding provided for COVID-19 relief funds allocated from the CARES Act. Guidance for the use of these funds has been provided to provider agencies in a separate ALERT, and in related communications.

**Short Term Crisis Services (STCS) Policy Manual SFY 2021**

**Background**

This manual is an updated version of the previous DES/DAAS policy for use by STCS provider agencies.

**Summary**

There are no STCS program changes. Language in the manual is updated for clarification, to more specifically articulate STCS Administrative Code requirements, and to reflect current DES and DAAS policy language standards. Some procedures are updated. There have been no policy changes in services funded by Temporary Assistance for Needy Families (TANF) related to COVID-19.

**Implementation**

These policies are effective July 1, 2020. Agencies should begin implementation immediately and fully implement by Aug 3, 2020.

Attachment: LIHEAP and STCS Policy Manuals 2021

Attachment SFY 21-K1.A2 – LIHEAP Only Income Thresholds with Energy Points

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

# Low Income Home Energy Assistance Program



## Policy and Procedure Manual

Revised June 2020

Equal Opportunity Employer / Program • Auxiliary aids and services are available upon request to individuals with disabilities • To request this document in alternative format or for further information about this policy, contact the Division of Aging and Adult Services at 602-542-4446; TTY/TDD Services 7-1-1.

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## 100 PURPOSE AND PRINCIPLES

### Purpose of LIHEAP

The Low-Income Home Energy Assistance Program (LIHEAP) is authorized by Title XXVI of the Omnibus Budget Reconciliation Act of 1981 (OBRA), Public Law 97-35, as amended. The Administration for Children and Families (ACF) within the U.S. Department of Health and Human Services administers LIHEAP at the federal level.

The Human Services Amendments of 1994 (Public Law 103-353) reauthorized LIHEAP through FY1999. In 2004 the Senate passed the Poverty Prevention and Reduction Act, reauthorizing LIHEAP through 2010. The House is also working toward reauthorization. As part of the original reauthorization, Congress amended the purpose of LIHEAP to clarify that LIHEAP is **"to assist low- income households, particularly those with the lowest incomes, that pay a high proportion of household income for home energy, primarily in meeting their immediate home energy needs."**

The LIHEAP program provides for utility bill assistance in the form of a LIH EAP and/or Supplemental (Crisis) benefit. 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. LIHEAP benefit payment amounts are determined based on household income, energy burden and energy need. **A LIHEAP benefit does not require a shut-off or eviction notice.** Supplemental assistance (Crisis) is provided when **a crisis exists in order to issue a supplemental payment and the crisis must be clearly and fully documented on the application.** See crisis definition in section 800 Supplemental Benefit, page 27.

A Supplemental Benefit can be made at the same time a maximum LIHEAP benefit amount has been approved. To provide a Supplemental benefit the household must be in a crisis situation. A Supplemental benefit does require a shut-off or eviction notice. See crisis definition in section 800 Supplemental Benefit on page 27.

LIHEAP funds are available on a statewide basis to benefit eligible households. Applications are taken by Service Providers that are currently contracted by the Department of Economic Security (DES), Division of Aging and Adult Services (DAAS). Service Providers are responsible for gathering documentation to verify eligibility.

**Note: The policies and procedures in this section relate only to services/benefits funded by LIHEAP. Utility Assistance is also provided under other programs that have their own policies and procedures.**

## Program Description

**The Arizona LIHEAP Program is a federal block grant funded through the Low-Income Home Energy Assistance Program (LIHEAP). The block grant legislation (Title XXVI of the Omnibus Budget Reconciliation Act of 1981, Public Law 97-35, as amended) gives states broad latitude to develop programs that assist low income households to meet their immediate home energy needs. On the federal level, the program is administered in the U.S. Department of Health and Human Services. (See Health and Human Services' web site at <http://www.acf.hhs.gov/programs/ocs/liheap/>).**

The five categories of LIHEAP activities required by the LIHEAP Statute {2605(b)(1)} are:

1. Outreach activities
2. Assistance with home energy costs
3. Intervention in energy emergency situations
4. Provision of low-cost residential weatherization and cost-effective energy-related home repair
5. Planning, developing, administering and leveraging activities

Federal law also requires DES to agree to comply with sixteen assurances included in the *State Plan* that states must use to develop their policies and procedures. {*LIHEAP Statute Section 2605(c) (1) (F)*}

LIHEAP services include:

- Financial aid to pay a portion of utility costs
- Crisis intervention for threat of, or no utility situations
- Energy related repair for home energy system repair or replacement
- Referral to Weatherization and other human service providers as funding is available

LIHEAP is administered by the Department of Economic Security (DES), Division of Aging and Adult Services (DAAS). DES/DAAS provides grants to local Community Action Agencies, counties, tribal governments, the Arizona Department of Housing and private not for profit service providers to deliver the program in defined geographic areas. These entities will be referred to as service providers in this manual. DES/DAAS has statewide administrative authority over LIHEAP including:

- Selecting and contracting with local Service Providers
- Program and policy development
- Training and support
- Disbursing financial resources
- Monitoring for compliance
- Data collection

- Reporting

Annually, DES/DAAS submits a State Plan or an update to the State Plan to the US Department of Health and Human Services as required by law. The State Plan describes how federal LIHEAP funds will be used to help low-income households pay energy costs and reduce energy. Then the Plan is put before the public for input *{LIHEAP Statute Section 2605 (a)(2)}*. Comments received at the public hearing and in writing during the comment period are considered in the development of the State Plan. The proposed State Plan is available at the main DES site.

<https://des.az.gov/services/aging-and-adult/partners/daas-policy-and-procedure-manual>

The LIHEAP program provides utility assistance in the form of a regular LIHEAP and/or Supplemental (Crisis) benefit. For the purposes of this manual LIHEAP assistance will be referred to as LIHEAP. All LIHEAP payments are 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. LIHEAP assistance payment amounts are determined based on household income, energy burden, and energy need.

**\*\*LIHEAP assistance does not require a shut-off or eviction notice.**

**\*\*Supplemental LIHEAP assistance does require a shut-off or a delinquency notice or if utilities are included in the rent, an eviction notice. If the household utilizes portable or pre-pay utility service Supplemental LIHEAP assistance may be provided if the household has seven (7) days or less of energy available.**

LIHEAP Supplemental (Crisis) assistance can be made at the same time a maximum LIHEAP benefit amount has been approved. An eligible household may receive one LIHEAP payment and one Supplemental LIHEAP payment per twelve (12) month period. To provide a LIHEAP Supplemental benefit the household must be in a crisis. Supplemental LIHEAP assistance does require a shut-off or eviction notice.

- **The maximum assistance allowed for LIHEAP assistance is \$800.**
- **The maximum assistance allowed for a Supplemental LIHEAP payment is \$800<sup>1</sup>.**

LIHEAP funds are available on a statewide basis to benefit eligible households. Applications are taken by Service Providers that are currently contracted by the Department of Economic Security, Division of Aging and Adult Services. Service Providers are responsible for gathering documentation to verify eligibility.

<sup>1</sup> The maximum supplemental payment was raised to \$1,000 during the COVID-19 pandemic. See CAPS COVID-19 Guidance at <https://des.az.gov/services/aging-and-adult/partners/daas-policy-and-procedure-manual>

**Note: The policies and procedures in this section relate only to services/benefits funded by LIHEAP. Utility assistance is also provided under other programs that have their own policies and procedures.**

### **100.01 Prudent Decision-Making Principles**

The policies and procedures included in the *LIHEAP Policy Manual* are rules for determining eligibility, delivering benefits and administering the program. It is impossible to foresee and give examples for all situations. Therefore, Service Providers are encouraged to use reason and apply good judgment in making decisions when addressing the specific needs and requests of a household or an unusual situation. Decision-making by staff based on the best information available, program knowledge, experience and expertise in a particular situation is referred to as the Prudent Decision-Making Principle. Prudence may also include seeking DES guidance on specific policy interpretation. Service Providers should document the rationale used to decide and cite any applicable *LIHEAP Policy Manual* references and policy interpretations.

### **100.02 Changes in Policy or Procedures**

- A. Each Service Provider will be responsible for ensuring LIHEAP Policy and Procedure Manual is issued to individual staff members and are maintained and updated.
- B. New and/or replacement pages for the LIHEAP Policy and Procedure Manual will be issued in the form of numbered Policy Clarification Notices by DES/DAAS. The Policy Clarifications will contain instructions for updating the manual as well as a summary of the changes and the effective dates.
- C. Subsequent Alerts related to policy changes or clarifications will be added to the policy and procedure manual by Service Providers to ensure that staff has the most up to date information.

### **100.03 Policy Questions and Clarifications**

All Service Provider's staff requesting clarification regarding procedural detail or policy interpretation will be elevated in the following order to:

- A. The Service Provider's internal process
- B. The individuals designated at DES/DAAS are listed below and all requests must be submitted in writing via Email to:

**EMAIL TO:** [smorgan@azdes.gov](mailto:smorgan@azdes.gov)

**ATTN: LIHEAP Policy Questions and Clarifications  
DES/DAAS – Community Action Programs and Services  
FAX: 602-542-6655**

C. DES/DAAS will respond within two business days unless additional research is required.

## **200 SERVICE PROVIDER’S ADMINISTRATIVE RESPONSIBILITIES OVERVIEW**

This chapter describes Service Providers’ general administrative responsibilities

### **200.01 LIHEAP Year-Round Program**

*Block Grant Regulations 45 CFT Part 96, Federal Statute, Section 2604 C (1) and (2)*

Arizona runs a year-round program which means that LIHEAP assistance is provided throughout the fiscal year. Assistance is provided in the form of LIHEAP and Supplemental (Crisis) assistance to eligible households

- (1) require each entity that administers such program
  - (A) to accept applications for energy crisis benefits at sites that are geographically accessible to all households in the area to be served by such entity; and
  - (B) to provide to low-income individuals who might have physical difficulties or other impairments that inhibit the ability to visit an office, the means:
    - (i) to submit applications for energy crisis benefits without leaving their residences; or
    - (ii) to travel to the sites at which such applications are accepted by such entity

### **200.02 Notification of Changes in Service Provider Information**

For contract and operational reasons, Service Providers must keep DES/DAAS informed in a timely manner of key changes in program and Service Provider staffing of key personnel, including changes to service locations and operations.

Formal announcements should be supplemented with informal updates to the applicable Contract Coordinator, copying the LIHEAP Program Coordinator as frequently as needed to keep DES/DAAS apprised of the progress of the situation. These communications should be completed in writing.

### **200.03 Risk Assessment**

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 Service Provider should strive to reduce or eliminate fraud and waste through program policies, technical support, program software, segregation of duties, quality controls and monitoring of services and financial activities.

### **200.04 Conflict of Interest Policy**

Service Providers must have a written conflict of interest policy. A conflict of interest policy is defined as a process or methodology that would prevent an individual or organization from corrupting the guidelines and purpose of the services provided. It prohibits personal, organizational or professional gain. Service Providers' personnel and board members are obligated to always act in the best interest of LIHEAP households, adhering to program guidelines and respective laws. At all times, local Service Provider personnel are prohibited from using their job title, the organization name or property, for private profit or benefit. Service Providers are required to inform DES/DAAS if they operate or own any business that could be viewed as a conflict of interest with the delivery of the LIHEAP Program. Service Providers must ensure staff that determine eligibility with regards to family members or friends, have appropriate oversight policies in place. This could include transfer of a household's case or a formal process with management review and signature.

### **200.05 Administration's Eligibility Determination Oversight**

Service Providers must use application processes, eligibility determination, payment processes and timelines as prescribed in related sections of this policy manual to assure LIHEAP services are uniform and equally available throughout the service area.

- Use the same application form/process for all applicants
- Document applications when received
- Document incomplete applications and notify households of information needed for completeness
- Verify income and supporting documents, and certify that the application is correct

## 200.06 Database Application Process and Procedures

### 200.06 (I) Completing the Intake Process

Service Providers must ensure that the intake form contains the following required elements:

- A. Name, address, and if available, ten-digit telephone number, as well as personal information, including
  1. Social security number (a pseudo social security number may be assigned)
  2. Gender
  3. Date of birth
  4. Citizenship status
  5. Disability
  6. Health Insurance declaration (“Yes” or “No” response is sufficient)
- B. Gross monthly countable income
- C. Energy Cost: a one-month cost of energy
- D. Employment income for all household members ages 18 and older (16 if not a full-time student) for 30 days prior to and including the date of application.

### 200.06 (II) Information and Reporting

Reporting LIHEAP activities provides DES/DAAS with information necessary for the statewide program administration and the ability to meet federal reporting requirements. Accurate and timely entry of data into Service Providers’ data collection systems and accurate and timely submission of reports are essential to the efficient operation of LIHEAP programs. All reports must be submitted to DES on time and in the proper format. Reports must be reviewed for accuracy and verified to be correct and final by the Service Provider.

Including the required reports identified in Service Provider’s contracts, the following reports are required:

- LIHEAP Monthly Household Report (with weatherization), to be submitted as a household detail report by the 25<sup>th</sup> of the following month, describing the households served in a set format provided by DES in an Excel template. The report must be named according to the following convention: Agency Household mmyy (i.e. WACOG would name their July 2020 report as WACOG Household 0720).
- Reports required by the federal government
- Response to Monitoring Findings\*\*

*\*\*Response to monitoring findings timeframe will vary. Service Providers will be notified of the required response time on an individual basis.*

To complete these reports, Service Providers must:

- Submit accurate information.
- Submit reports on or before the close-of-business on the due date.

### **Confidential**

Public law and federal regulations place restrictions on the release of confidential information and set guidelines for the disclosure of non-confidential materials. All applications, records, files and communications of DES/DAAS and contractors, relating to specific applicants for assistance and recipients of services funded by DES/DAAS, are confidential records.

All information, regarding an applicant or recipient, is confidential and may be disclosed only for purposes of determining eligibility, providing services, or investigating suspected fraud in connection with the program. Applicants for services authorize access to their records by signing the application. Anyone not authorized on the application must have the applicant's written approval to access information. Information that can be exchanged must pertain to the eligibility of the applicant and excludes items that do not address eligibility and personal details. Inappropriate disclosure of information can result in severe disciplinary action or could result in the suspension of the contract agreement.

Access to information by inappropriate, unauthorized individuals or parties shall be considered a violation of the individual's right to confidentiality. Care should be taken to secure all files in the office so that unauthorized personnel do not have access to them. All records shall be open to all federal, state and contractor auditors and/or examiners during their regular audits.

General information, policy statements or statistical materials, which cannot be directly identified with any individual or family, are not considered confidential information. They may be given to or provided by agencies, helping organizations or contracted parties, unless restricted by Arizona statutes, federal regulations or court orders. (See section 1000 Decision Notices)

## **200.07 Monitoring**

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. It also refers to DES/DAAS monitoring of the Service Provider. LIHEAP Service Providers have a responsibility to monitor and be monitored for compliance with program requirements.

DES/DAAS monitors Service Providers' compliance with all requirements of federal, state and local laws, the LIHEAP contract and directives in the policy manual. The Service Provider shall cooperate in the evaluation of contract services. The evaluation team 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.

DES/DAAS shall provide the Service Provider with a request for needed documents, such as, case management files, fiscal and administrative records, at least one week prior to the scheduled monitoring date. Regarding unscheduled monitoring, DES/DAAS may request needed documents while onsite without prior notice. DES/DAAS will communicate recommendations or findings with key personnel and provide the opportunity for clarification. DES/DAAS will provide written results of the monitoring in a reasonable amount of time.

The Service Provider will ensure that key personnel are available for discussion during the scheduled monitoring. The Service Provider will ensure that requested records are available and in order beginning on the initial monitoring date. It is DES/DAAS's expectation that the monitoring will begin at the agreed date and time for scheduled monitoring.

**The onsite monitoring visit will include these activities:**

**Entrance Interview:**

This interview should include the DES/DAAS Contract Coordinator, DES/DAAS LIHEAP Program Coordinator and the Service Provider's Program Manager. It may include other DES/DAAS and Service Provider staff upon request of the DES/DAAS Contract Coordinator, DES/DAAS Program Coordinator or at the discretion of the Service Provider. The entrance interview will describe the monitoring activities that will take place, review of the monitoring process and schedule interviews with other Service Provider staff, as requested by the DES/DAAS monitoring team.

**General Procedures:**

On site compliance monitoring will consist of a program review, with follow up questions appropriate to the local situation. To complete the compliance monitoring, the DES/DAAS Contract Specialist and/or the DES/DAAS LIHEAP Program Coordinator 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.

**Exit Interview:**

This interview should include the DES/DAAS Contract Specialist and the Service Provider Program Manager. The exit interview may include other DES/DAAS

monitoring team members. Other staff may be included at the request of the DES/DAAS Contract Coordinator or at the discretion of the Service Provider. In the event of compliance issues, the DES/DAAS Contract Specialist may request that the Executive Director attend. The purpose of the exit interview is to review positive and questionable findings, resolve misunderstandings and agree to a timeline for corrective action.

Response to findings and recommendations must be responded to within the allotted timeframe as disclosed in the Report of Findings document. Service Providers in need of technical assistance, guidance and direction from DES/DAAS should request such assistance as soon as possible. In extenuating circumstances, Service Providers may request an extension, however; DES/DAAS will make the final determination regarding extensions.

## **200.08 Data Privacy**

The collection, storage, use and release of Personally Identifiable Information shall be limited to that necessary for the administration and management of the program. The Service Provider shall observe and abide by all applicable State and federal statutes, rules and regulations regarding the use or disclosure of information including, but not limited to, information concerning applicants for and recipients of contract services. The Service Provider shall release information to DES/DAAS as required by the terms of their contract.

Medical Personal Identifying Information data privacy see [400 ELIGIBLE](#)

## **APPLICANT**

## **200.09 Data Sharing Agreement**

Service Providers who enter into a data sharing agreement with DES/DAAS must abide by all pertinent privacy laws and DES/DAAS guidelines.

### **Data Sharing Agreement Request:**

Service Providers may request the sharing of applicable data with DES/DAAS relative to the services provided or when determined necessary by DES/DAAS. In order to share the confidential data with the Service Provider, the Service Provider shall complete the ADES Data Sharing Request Agreement and submit the completed Agreement to the DES/DAAS Program Designated Staff prior to any work commencing or data shared. A separate Data Sharing Request Agreement shall be required between the Service Provider and each DES/DAAS Program sharing confidential data. The following Arizona State Statute and federal regulation should be noted in the data sharing request: ARS 36-598-01, CFR 233.120

## **200.10 Records Maintenance**

Service Providers must maintain a record management system that retains applications and supporting documents for a period of a minimum of five years from the date of the final audit. Contractor's retention policies should not exceed five years to protect the data privacy of applicants. (ARS 35-214)

## 200.11 Fraud Detection

Service Providers must have a written policy and mechanisms in place to identify and report cases of suspected LIHEAP fraud, waste, abuse or improper payments. Any known fraud/abuse must be reported to DES/DAAS as soon as it is identified along with information on how the situation was corrected.

For questions related to fraud at the federal level email [fraudnet@gao.gov](mailto:fraudnet@gao.gov). To report suspected fraud, waste or abuses at the state level go to: <https://www.azdes.gov/forms.aspx?menu=10&form=4825> or call **1-800-251-2436**.

### Investigation of Suspected Fraud

Service Providers must act in the case of credible fraud allegations or other discoveries of potential fraud. A complaint is likely to be credible when the complainant identifies themselves and describes a situation that would violate some aspect of LIHEAP's policy. Situations that are easily remedied such as overpayments that are recovered by the Service Provider do not need to follow the fraud parameters. If an error is discovered to be due to the Service Provider, the Service Provider must ensure that the household has not experienced a loss of energy due to the mistake. The Service Provider is only obligated to assist the household within the eligibility guidelines. Reasons to investigate may include:

- A complaint of misuse of LIHEAP resources
- A credible complaint that contradicts application information affecting eligibility or benefits
- Knowledge that a household has received LIHEAP assistance in more than one location twice within the 12-month (365 day) period
- Knowledge that a household has received Supplemental (Crisis) LIHEAP assistance twice within the 12-month (365 day) period (The Service Provider where the household applied last oversees the investigation. The Service Provider where the household applied first should cooperate with the investigation.)
- Public information from law enforcement activities or the news media

When undertaking the investigation, the Service Provider must:

- Report the situation by contacting the DES LIHEAP Program Coordinator with pertinent information
- Ensure due process and protect the privacy rights of the household. If legal action commences, the privacy rights may change
- Contact agency's staff that investigates fraud management and/or their legal

- advisor to determine what course of action is needed
- Inform the energy vendor and household that the assistance may be re-captured, a refund may be requested or a freeze of LIHEAP credit on the household's energy vendor account may be implemented if fraud is determined
  - Collect and verify facts and information to determine if an error or potential fraud occurred
  - Conduct follow-up interviews to obtain additional information, if necessary
  - Take appropriate action to safeguard public resources such as requesting repayment of LIHEAP funds from the household if applicable
  - Track fraud cases until completion including convictions and restitution if applicable and submit all updates and conclusions to DES/DAAS
  - Document a household's suspected fraud and investigation results and forward to DES/DAAS LIHEAP Program Coordinator

### **200.12 Duplication of Benefits**

Service providers are to review all LIHEAP eligible households within the agency's geographical service boundary for LIHEAP (regular and supplemental) benefits received within the prior 12-month period. The review should cover a 12-month period, and identify any households, and household members, that have received LIHEAP (regular and/or supplemental) benefits. Please note that this policy will be implemented until an automated option is developed.

### **200.13 Fiscal Transactions**

Service Providers must use generally accepted fiscal practices including authorized personnel having program specific knowledge. Practices should have:

- Proper segregation of duty (to have more than one person complete the fiscal tasks to prevent fraud and error.)
- Auditable processes
- Consistent communication between program and fiscal staff

### **200.14 Life Threatening Crisis Policy**

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 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.

**200.14 (I) Life threatening Crisis Definition**

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.

LIHEAP Eligible clients who are in a life-threatening emergency must be provided some type of assistance within **18** hours, as funding is (resources are) available.

**200.15 Overpayments and Recovery of LIHEAP Funds**

A correction is required when LIHEAP assistance is overpaid. Service Providers must track households with unresolved overpayments. If the overpayment is due to the household reporting inaccurate information the household is not eligible to receive LIHEAP (regular/supplemental) assistance until the overpayment issue is resolved and the recovery procedure is complete. If the overpayment is due to an error on the part of the Service Provider or other circumstance, the household is eligible to receive LIHEAP (regular/supplemental) Assistance.

Service Providers must document overpayments when recovering LIHEAP funds paid to a household or for a household to an energy vendor. Documentation should include the household number, reason for the overpayment and the utility type and type of assistance. This information should be kept by the Service Provider and provided to the DES monitoring team if requested.

Follow the overpayment recovery procedures for an error, waste, abuse, or suspected fraud below:

If an error results in overpayment of LIHEAP funds, the Service Provider must attempt to recover funds in the following order:

1. If identified immediately, work with the energy vendor to determine if the incorrect payment can be easily refunded to the CAA
2. Adjust scheduled payments, if possible
3. Recover credit on energy vendor account, if possible

All cases of suspected fraud must be reported to proper authorities (Fraud Detection, section 200.11). The following rules guide overpayment recovery of LIHEAP funds for instances of suspected fraud.

Households who have committed fraud must repay funds. Recover funds in the following order:

1. If identified immediately, work with the energy vendor to determine if incorrect payment can be easily refunded.
2. Recover credit on energy vendor account, if possible.
3. Write to the client by certified mail to:
  - Notify them of the situation
  - Request repayment of overpaid LIHEAP funds not recovered
  - Clarify the household's rights and responsibilities and appeals process
  - Offer to meet with the household member(s)
  - Set up a repayment schedule including installment payments as needed ensuring full repayment is made
4. DES/DAAS reserves the right to deny a household suspected of fraud for the current program year and require all LIHEAP assistance be repaid.

**Note: In no circumstances should LIHEAP voucher funds be used for administrative expenses. Funds may be moved from the administrative budget to the voucher budget with program approval; however, voucher funds must be used for client services. Voucher funds used for administrative costs will be subject to investigation and recovery in accordance with this section of the policy.**

### **300 OPERATIONS AND CASE MANAGEMENT**

#### **300.01 Nondiscrimination**

(ARS 41-1492-.02, ARS 40-334, Title VI, Civil Rights Act of 1964, Dept. of Justice Title VI, Civil Rights Act of 1964)  
(Age Discrimination Act of 1975, Civil Rights Requirements - B. The Age Discrimination Act of 1975, 42 U.S.C. 6101 Et seq.) (Contract, Scope of Work 6.4.6)

- A. In compliance with Title VI of the Civil Rights Act of 1964 and Executive Order 12250, no individual in Arizona shall be excluded from participation in, denied benefits or subjected to discrimination under any program or activity receiving Federal funds, because of:
- Race
  - Color
  - National origin
  - Disability
  - Religion or
  - Sex

- B. In compliance with the Age Discrimination Act of 1975, no individual shall be denied services or participation or be subjected to discrimination in any of its programs or activities on the basis of age.

### **300.02 Information Available to the Public**

The items which govern program administration will be maintained in the DES/DAAS office, 1789 W. Jefferson, Phoenix, Arizona 85007 for examination during regular office hours and on the [Arizona State DES website](#).

- **Low Income Home Energy Assistance (LIHEAP)** – State Plan and the LIHEAP Policy Manual

### **300.03 Service Provider Application Process and Procedure**

This section covers what must be included in the application and clients' rights to request financial information.

Contracted Service Providers must ensure that the following information is documented for the applicant:

**I. The Service Provider application should contain the following required elements but is not limited to this list:**

- a. Name, address, and if available, ten-digit telephone number
- b. Personal information, including:
  - i. Social security number
  - ii. Gender
  - iii. Date of birth
  - iv. Citizenship status
  - v. Disability
  - vi. Health Insurance declaration
  - vii. Gross monthly countable income
  - viii. Energy Burden: a one-month cost of energy
  - ix. Employment income for all household members ages 18 and older (16 if not a full-time student) for 30 days prior to and including the date of application
  - x. Verification such as identification/documentation for children or other family members who reside in the home for all household members at the time of the application
  - xi. A completed copy of the LIHEAP eligibility worksheet.

**300.04 Home Visit Definition:**

An individual does not have to be bedridden to be considered confined to their home. However, the condition of these individuals should be such that there exists a normal inability to leave home and consequently, leaving the home would require a considerable and taxing effort. Any absence of the individual from the home attributable to the need to receive health care treatment, including regular absences for participating in therapeutic, psychosocial or medical treatment in an adult day-care program that is licensed or certified by the State should not disqualify an individual from being considered confined to their home. Any other absence of an individual from the home shall not so disqualify an individual if the absence is infrequent or of relatively short duration. For the purpose of the preceding sentence, any absence for the purpose of attending a religious service shall be deemed to be an absence of infrequent or short duration. Home visits shall be provided to qualifying individuals in accordance with contractual guidelines.

**300.05 The Standard Household Unit**

A Standard Household Unit consists of every household member who must be included in the eligibility determination for assistance. If the applicant or a household member is pregnant in the third trimester, the fetus is considered an eligible child and shall be listed as an individual in the household.

In compliance with the (ARS 41-1492-.02, ARS 40-334, Title VI, Civil Rights Act of 1964, Dept. of Justice Title VI, Civil Rights Act of 1964), it is important to note that U.S. citizen children, regardless of immigration status of their parents or guardians, have the same rights to public benefits as all other citizens. For example, undocumented parents may apply for public benefits for their U.S. citizen children.

- 1) For the purpose of the application process, benefits may be issued in the name of a non-qualified immigrant only when the only eligible household members are minor children or when the non-qualified immigrant is the customer of record for the energy bill.
- 2) Non-qualified household members are not counted toward the household size for the purpose of determining energy points; however, all income for all household members is counted regardless of income source or immigration status of household members.

**300.05 (I) Boarder Definition:**

Boarders are one or more persons living in the same house (individual's home or a commercial boarding house) that pays to live and have daily meals to the owner of the home who also lives in the house. Income of the owner of the home or other boarders is not counted. Boarders can be related by blood or law (excluding marriage) to the owner of the home. In these circumstances' documentation must

be provided such as rental agreements, rental receipts, and/or a letter from the individual who is renting to the applicant. The owner of the home is not included as a household member of the applicant.

- A. Susan and Jane live in the house that Susan owns. There is no blood or law relationship. Susan is renting a room to Jane and her two children. Jane and her two children are the boarders. Jane applies for LIHEAP assistance. Susan will not be included as a household member on the application. Susan may apply for LIHEAP assistance separately.
- B. Jim is a boarder at a halfway house. Jim is not eligible because a halfway house is not considered permanent housing.
- C. Jane and her new baby live with her Aunt Betty. Aunt Betty owns her home. Jane was paying Aunt Betty rent, however; Jane no longer receives child support and cannot pay her Aunt any rent money for the month of June. Aunt Betty has allowed Jane to continue to reside in her home knowing that Jane cannot pay her rent. She assumes the burden of supporting Jane and her baby. Jane is considered a roommate **not** a boarder due to Aunt Betty assuming the burden of supporting Jane and her baby. All family members in the household are included on the application and all income is counted.
- D. Mary rents a three-bedroom apartment. Sara, Mary's daughter, and her two children rent one of the rooms from Mary. There is a lease agreement between Mary and Sara. Sara is employed, and her hours are cut. She is not able to pay Mary rent for the month of April but is able to pay for food and other necessities for herself and her children. Sara applies for LIHEAP assistance. She provides the lease agreement between Mary and Sara. Sara is considered a boarder. Mary is not considered part of Sara's household; therefore, her income is not counted.

**Note:** *An agency may contact DES to request approval for exceptions.*

### **300.05 (II) Roommate Definitions:**

Roommates are one or more persons living in the same house paying rent to the landlord outside of the home. This should not be confused with boarders as all income for roommates is counted.

- A. Linda and Donna are roommates. Donna pays rent to Linda, who has a rental agreement with a landlord living outside the home. They will be considered roommates, and both Linda and Donna will be included on the application.
- B. Martin and Mary own and reside in their own home. Nephew, Sam and his family live with them. They will be considered roommates due to the blood

relationship between Mary and Sam. All household members will be included on the application.

### **300.05 (III) Unborn Child within the Third Trimester:**

If the applicant or a household member is pregnant in the third trimester, the fetus is considered an eligible child and **shall** be listed as an individual in the household. The unborn child should be documented as “baby” for the first name and use the last name of the client.

### **300.05 (IV) Foster or Resource Family Household:**

If a Foster/Resource Family (regardless if blood related or not) applicant applies for LIHEAP assistance, the child/ren who reside in the home at the time the application is submitted will be counted as household members if the applicant has supporting documentation such as:

- Court documentation
- Legal Power of Attorney
- Documentation from Child Protective Services or other governmental agency
- Other reasonable documentation source

## **300.06 Pre-Paid Utility Households**

### **300.06 (I) LIHEAP Assistance:**

If the household utilizes a pre-pay utility vendor, the Service Provider may use previous purchasing history to determine the amount of assistance that may be provided. If the applicant does not have any documentation at the time of the application, the Service Provider should attempt to contact the utility provider to learn of the historical usage of the household. The LIHEAP Eligibility worksheet must be utilized to determine the maximum dollar amount the household qualifies for.

### **300.06 (II) Supplemental (Crisis) LIHEAP Assistance:**

**\*\*Supplemental LIHEAP assistance requires a shut-off or a delinquency notice or if utilities are included in the rent, an eviction notice. If the household utilizes portable or pre-pay utility service Supplemental LIHEAP assistance may be provided if the household has seven (7) days or less of energy available.**

Pre-pay households are eligible for LIHEAP Supplemental (Crisis) assistance. The Service Provider should use a prudent decision-making process to determine the

amount of assistance to be provided. If the Service Provider is not able to ascertain any information from the energy vendor, the same methodology as used in portable fuel may be utilized (maximum amount of \$200 can be considered to calculate the household's energy burden if there is no billing documentation). If the household's energy usage history is available, the Service Provider may determine that the maximum amount of \$500 could be granted. If the household has receipts or the energy vendor is able to provide information for one month's purchases, that amount can be used in determine the dollar amount to mitigate the crisis. Other factors may be taken into consideration but are not limited to the household's potential future income or lack of income; medical and/or disability status and the severity of the weather (excessive heat months which will increase near future utility bills).

### **300.07 Verification and Documentation**

#### **300.07 (I) Verification**

Verification is the use of documents, systems, information or contacts with third parties to establish the accuracy of information provided by the applicant during the interview and indicated on the application form.

- A. The applicant has the primary responsibility for providing all required verification.
- B. In situations where it is difficult for the applicant to obtain verification needed to complete the eligibility determination, the Service Provider will aid in obtaining the verification.
- C. A minimum of 2 business days will be granted for applicants to return missing documentation.

#### **300.07 (II) Documentation**

The case file must contain an explanation of the method by which eligibility criteria was verified, (hard copy, collateral contact, visual verification or client statement). Documentation must support eligibility, ineligibility and the services to be provided and must be in enough detail to permit a reviewer to analyze the accuracy of the eligibility determination.

1. Documentation can be recorded with a hard copy (HC), collateral contact (CC), visual verification (VV) or client statement (CS). Visual verification may only be used when providing a home visit.
2. Documentation is written by the caseworker to support or clarify any information on the application.
3. A declaratory statement may be used, but only after all other resources have been exhausted. To be considered valid this statement must include:

- A. Date the statement was made
- B. All information required must be included in the statement for verification and documentation
- C. Client's signature

A declaratory statement **CANNOT** be taken to verify citizenship or legal resident status.

### 300.07 (III) Mandatory Verification

The following eligibility criteria must be verified:

- A. **Identity of the Applicant (to be verified once by the agency)**; any document that establishes the applicant's identity will be accepted. Documents include, but are not limited to:
  - Driver's license
  - Work or school ID
  - ID card from health benefits or another assistance or social service program
  - Voter registration card
  - Wage stubs
  - Birth certificate
  - Family census card
  - Other reasonable sources
- B. **Citizenship or Qualified Immigrant Status** for the **applicant (If method of proving citizenship does not expire or is not likely to change, such as a birth certificate, these documents only need to be verified once by the agency)**. See **EXHIBIT I** "Instructions for verifying Citizenship and Qualified Immigrant Status".
- C. **Residential Address**: applicant may provide, lease agreement, utility bills (in client's name), etc.
- D. **Gross Non-Exempt Income** of **all household members**; income may not exceed 60 percent of the State Medium Income (SMI) Threshold Chart (**ATTACHMENT 5**) or Simplified LIHEAP Income Chart (**ATTACHMENT 4**).
- E. **Social Security Numbers for applicant (NEW)** Community Action Agencies are required to collect all proper documentation regarding household size and income from applicants seeking LIHEAP utility assistance. Documents are only required for individuals who are benefit eligible members of a household. Additionally, only benefit eligible members of the household applying for assistance with

**LIHEAP block grant funds are required to provide or apply for a Social Security Number.<sup>2</sup> [See Mixed Status Households](#)**

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 APPLICANTS**

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 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 Alien Status household member
  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 Qualified Alien Status during the verification process is/are true.

<sup>2</sup> This is stated in policy [FAA2.L03C](#) SSN Requirements in the Cash and Nutrition Assistance Policy (CNAP) Manual. This policy supports Federal regulation [7 CFR 273.6](#) on Social security numbers.

- 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**.

#### **400.01 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. The client may provide the agency with medical documentation that contains client Personal Identifying Information (PII), the caseworker should review and document relevant information regarding the client's crisis or situation in case notes. Medical documents containing client PII will not be kept in LIHEAP client files.

#### **400.02 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.

#### **NOTE: Utility Moratorium**

**Please note that during a moratorium on utility shutoffs, Community Action Agencies should encourage households to continue to apply for LIHEAP benefits, as these households may be compounding fees and charges that will be detrimental to their fiscal stability once the moratorium is lifted. If the household is in arrears for more than 5 days, agencies may apply supplemental benefit at the same time as the regular LIHEAP benefit to meet a household's energy obligation. Agencies may apply the LIHEAP Supplemental payment while the moratorium is in effect, even if no shutoff or delinquency notice has been sent to the client. Agencies are also encouraged to plan and execute increased outreach to special populations such as older adults and individuals with disabilities during these times.**

#### **400.03 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. See income eligibility section: [900.05](#)

#### **Mixed Status Households (NEW)**

**It is important to note that benefit eligible children, regardless of immigration status of their parents or guardians, have the same rights to public benefits as all other citizens or qualifying immigrant. For example, undocumented parents may apply for public benefits for their U.S. citizen children.**

For the purpose of the application process, benefits may be issued in the name of a non-qualified immigrant only when the only eligible household members are minor children or when the non-qualified immigrant is the customer of record for the energy bill who has applied for a benefit on behalf of a benefit eligible minor.

Non-qualified household members are not counted toward the household size for the purpose of determining energy points; however, countable income for all household members is required regardless of immigration status of household members. See [Citizenship](#)

#### 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 **\$800 limit**.

**400.07 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	
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	

**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, 2020. 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 the same date they apply for the LIHEAP assistance (if needed) or any time after the date of the regular LIHEAP.

**700 ALLOWABLE CATEGORIES FOR FINANCIAL ASSISTANCE**

LIHEAP Benefit payments will be utilized to provide the following services:

1. Utility Payments for heating/cooling bill assistance:
  - Electric
  - Gas
  - Propane
  - Wood/coal
  - Pellets
2. Temporary Emergency Shelter (if needed due to energy related crisis)
3. Water bills (related to evaporative cooling for bills incurred for the months of May 1 through October 31)
4. Payment to landlords (when utility costs are included in rent)

**800 LIHEAP SUPPLEMENTAL BENEFIT**

A LIHEAP payment and a supplemental payment cannot be given at the same time, unless the maximum amount of the LIHEAP benefit has been issued based on total points. The point system is not applicable for providing supplemental payments.

If the LIHEAP payment is not sufficient to cover the bill amount, the supplemental payment can be used as a second energy benefit or utility deposit, **ONLY if the household has a shut off or delinquency notice, or an eviction notice if utilities are included in rent.** (See pre-pay section for supplemental guidelines, section 900.04(II)), page 34.

**For example:** Current balance owed = \$398.00 LIHEAP Maximum = \$320.00 payment provided = UTS can be allowed **within the payment guidelines of \$20 minimum to \$800 maximum** (Service Providers' decision).

If the LIHEAP payment is sufficient to cover the bill amount, the supplemental payment cannot be used as a second energy benefit or utility deposit as the crisis has been resolved.

**For example:** Current balance owed = \$224.00. LIHEAP Maximum eligible for is a \$320.00 LIHEAP payment because the LIHEAP benefit satisfied the crisis – NO UTS allowed

***A crisis must exist to issue a supplemental payment and the crisis must be clearly and fully documented on the application.***

**A crisis is defined as:**

- 1. A shut off or delinquency notice or if utilities are included in the rent, an eviction notice, or**
- 2. The determination of a Human Service Emergency made by the Department of Economic Security. A Human Services Emergency includes but is not limited to fire or flood which results in the evacuation of homes and shelters. Upon determination of a Human Service Emergency, households affected may be assisted with costs to temporarily shelter or house individuals in hotels, apartments or other living situations in which homes have been destroyed or damaged, i.e., placing people in settings to preserve health and safety and to move them away from the crisis situation.**
  - If a shut off or delinquency notice is not available, the Service Provider may contact the energy vendor to verify as a form of collateral contact. This would apply to pre-pay households. (The case file must be fully documented with this information).
  - If a household has an eviction notice and utilities are included in the rent, the caseworker may authorize a payment up to the maximum supplemental payment amount of \$1000.
  - Supplemental payments must be made within the payment guidelines of \$20 minimum to \$1000 maximum.

## **900 FINANCIAL ELIGIBILITY**

The financial eligibility information presented in this manual is effective: July 1, 2019 to June 30, 2020 or until a new version is published.

***For the Low Income Home Energy Assistance Program (LIHEAP) a household's total gross countable income for the past 30 days including the date of application shall not exceed 60% of the State Medium Income. (See Attachment 4)***

## 900.01 Income

This section describes various kinds of income used to determine eligibility. These policies and procedures are applicable to all households who apply for services from the Low Income Home Energy Assistance Program.

## 900.02 Countable Income

EARNED and/or UNEARNED income will be considered in determining eligibility for services. The gross amount of income prior to deductions will be counted unless otherwise specified.

- A. Income will be counted as received at the time it is made available to the household. A check is considered **received** when it is added to the deposited account, put in the hands of the client, or made available to the client.

**Example:** Friday is a regularly scheduled payday. Client requests paycheck that is available on Friday, March 29, 2013 be mailed due to illness. The check was received in April. The check will be counted as **received** on March 29th.

- B. Regular monthly income deposited directly into a financial institution (e.g. SSA, SSI, VA, etc.) will be considered countable income in **the month for which it was intended**. Count the income in the month it is intended, even when it was received in the prior month.

**Example:** The Social Security Administration (SSA) deposited April's social security check on March 31, 2000 because April 1<sup>st</sup> (normal day of deposit) was a Saturday. The **month for which it is intended** is April. Count the social security check received April 1st.

- C. **Non-Recurring lump sum payments are counted as both a resource and income.** When a portion of the lump sum is intended for the current month, only that portion is countable income. The balance would be counted as a resource. Sources of lump sum payments include but are not limited to: CA, GA, SSA, SSI, VA, and UI.

**Example:** Client receives a **non-recurring lump sum payment** from SSA in the amount of \$1,800 in June. Client was awarded \$600 per month. The \$1,800 is for the months of April, May, and June. Count \$600

as income for June. The remaining \$1,200 is counted as a resource because it is back payments for the prior months of April and May.

### **900.03 Individuals Whose Income Must Be Counted**

Any income of a household member age 18 and older will be counted, including ineligible household members. Income for all person's ages 16 and 17, **who do not attend school full time**, will be counted.

### **900.04 Individuals Whose Income Will Not Be Counted**

- A. All earned and unearned income for persons ages 16 and 17 who attend school full time is not counted.
- B. When domestic violence occurs, the income and resources of the abuser are not counted if domestic violence is the crisis reason, and the abuser is no longer in the household. (see section 300.01)
- C. When domestic violence occurs, the income and resources of the former household are not counted as long as the applicant does not have access to his/her income and resources, and the abuser is no longer in the household

### **900.05 Earned Income**

Earned income is defined as either cash or in-kind income received as compensation for wages, salaries, commissions or profit through employment or self-employment.

#### **Types of Earned Income**

##### **Earned income includes but is not limited to:**

- A. ARIZONA TRAINING PROGRAM (ATP): Salaries to handicapped persons working in a sheltered workshop situation are counted. Verbal or written verification may be obtained from ATP.
- B. BABY-SITTING OR CHILDCARE INCOME: Earnings from baby-sitting are counted as self-employment income. Verbal or written verification may be obtained from DES or the person paying for the care.
- C. CAN OR BOTTLE SALES OR OTHER USABLE DISREGARDS: Income from these sales is counted as self-employment income. Client should have receipts for such sales. If receipts are not available, a signed and dated client statement would be acceptable.

- D. **CONTRACT INCOME:** Income received by individuals who are employed under a contract that states a specific length of time and a specific income amount to be paid during that time.
- E. **HOUSEKEEPER OR HOME HEALTH AIDES:** Income earned as a housekeeper or home health aide is countable. Verbal or written verification may be obtained from the employer. Income is only counted once, if living in the household and paid by the applicant.
- F. **IN-KIND EARNED INCOME:** Work performed by a client in exchange for room, board, or other needs is earned in-kind income. The employer will establish the monetary value of the service. A collateral contact or a signed and dated statement from the employer, or client can verify in-kind income. The employer may be, but is not limited to:
1. A landlord who is providing rent or portions of the rent or utilities in exchange for work.
  2. A storeowner who gives goods, such as groceries, clothes or furniture in exchange for work.
  3. An individual who receives a car, tools, trailer, building material, gasoline, etc. in exchange for work.
- G. **JURY PAY:** Counted as earned income. Check stubs should be available to verify income.
- H. **MILITARY INCOME:** Wages received while in the military are countable. This includes base pay (BP), Proficiency pay (PRO), rations (separate/leave), basic allowance for housing (BAQ), basic allowances for subsistence (BAS) and variable housing allowance (VHA) when considered an entitlement. Use the leave and earnings statement, when available, to verify the amount of earned income issued.
- I. **RENTAL INCOME:** Any monies received from rental of property, including boarders, less expenses, are counted as earned income if work is involved.
1. Work includes, but is not limited to, managing rental property requiring maintenance, collection of rent or accounting functions. There is no time requirement for number of hours worked.
  2. If a person's income from rental of property does not require work, rent is considered unearned income.
- J. **SELF-EMPLOYMENT INCOME AND EXPENSES:** Self-employment includes but is not limited to, businesses such as grocers, craftsmen, taking in boarders, ranching, farming, swap meet sales, odd jobs, baby-sitting, can and bottle collection, janitorial, guide for hunting or fishing or any wholesale or retail sales.

Clients are not considered self-employed if they work for a business or another person on a commission basis, unless the client reports and pays his/her own withholding taxes for state, federal and FICA.

Acceptable verification for self-employment is:

1. IRS Form 1099
2. Ledger statement
3. Client statement

When calculating self-employment income, the client may deduct any business expenses. Gross incomes minus business expenses equals countable income.

- K. VOCATIONAL REHABILITATION (VR): Wages from VR sponsored on-the-job training (OJT) are countable.
- L. WAGES: Gross earnings from employment, prior to any deductions, garnishments, allowances or adjustments. Special benefits or deductions connected with employment earnings are counted as follows:
1. Advances, bonuses and commissions must be counted as earned income in the month received.
  2. When tips are shown on the pay-stub and the household claims a lesser amount but has no record of actual tips received, count the amount on the pay-stub.
  3. When tips are not shown on the pay-stub, obtain the individuals' written tip record. When not available, obtain a written statement from the household or contact the employer.
- M. WORKFORCE INVESTMENT ACT (WIA): Earnings from employment through WIA will be counted for persons age 18 and over.
- N. WORK STUDY: Earnings received from the following: Work-study programs, when the funds do not come under Title IV of the Higher Education Act; Veterans Administration work-study program.

## **900.06 Verification of Earned Income**

Gross earned income must be verified prior to initial approval. All gross earned income received by the household members ages 18 years and older (16 unless a full-time student) is counted in determining the total income. Contract agency staff is responsible for obtaining accurate gross amounts from the client or employer.

**Acceptable verification includes but is not limited to:**

1. Paycheck stubs(s)
2. Copy of check, when gross earnings are listed
3. Employer's statement that is signed and dated. (When employer verification would jeopardize the applicant's job, other means of verification must be pursued)
4. The employer's statement must include the following:
  - a) Name, address and telephone number of employer
  - b) Frequency of receipt
  - c) Gross amount of income
  - d) Day of the week pay is received
5. Letter from the agency providing government sponsored training;
6. Assistance payment records
7. Award letter
8. Bank records
9. Court records
10. Division of Child Support Services printouts
11. Divorce or separation papers or contact the Clerk of the Court
12. The current check, when it reflects gross income. Federal government checks are not to be photo-copied; signed statement from agency or payer providing income
13. Client's statement, WHEN NO OTHER VERIFICATION CAN BE OBTAINED. All other possible verification sources must be exhausted before accepting client statement. Document all attempts to verify and why the client's statement is being allowed
14. Verification of Terminated Income
15. Verification of income qualification through the DES case management system for SNAP and TANF

Valid SNAP/TANF Award letter may be used a verification of citizenship/identity/ residency and in some cases household.

When job termination is reported in the prior 30 days to the date of the application, verify the following:

- The date of termination
- Gross income received in the prior 30 days
- The last payday and the gross amount paid

***\*Exception: At the LIHEAP Agencies discretion, client statement may be used to verify household income when the household contains a member(s) who verifies current receipt of either TANF Cash Assistance; Supplemental Nutrition Assistance Program (SNAP); or Supplemental Security Income (SSI) benefits.***

### 900.07 Unearned Income

Unearned income is defined as income which was not received as a result of the performance of a service, or earned from sources other than employment, self-employment or in-kind income.

#### Types of Unearned Income:

Countable unearned income includes but is not limited to:

- A ALIMONY OR SPOUSAL MAINTENANCE: A court-ordered support amount, which a legally divorced or separated person pays to the spouse, must be counted. Verbal or written verification may be obtained from the office of the Clerk of the Court or Division of Child Support Services.
- B ASSISTANCE PAYMENTS: such as General Assistance (GA) or Cash Assistance (CA) from this state, as well as, other states must be counted.
- C BUREAU OF INDIAN AFFAIRS (BIA):
  1. BIA-General Assistance payments are public assistance and treated as any other assistance payments.
  2. Clothing allowances available to the individual, whether in cash or a voucher made out to the individual must be counted.
  3. Tribal Work Experience Program (TWEP) or Tribal Assistance Project Program (TAPP). Exclude any portion of the amount, which is an incentive payment.
- D CHILD SUPPORT: Any payment received directly by the household from an absent parent or paid through the Division of Child Support Services or Clerk of the Court. Only the amount paid to the client is counted (CP) =

child support payment. All child support income is considered unearned income.

- E COMMISSIONS: Commissions received from a terminated source of employment are counted as unearned income.
- F CONTRIBUTIONS AND COMPLIMENTARY ASSISTANCE: Cash contributions must be counted as unearned income, if not considered as gifts or child support.
- G INDUSTRIAL COMPENSATION: The amount of the compensation, after attorney's fees are deducted, is unearned income. The Industrial Claim award letter will verify amount being paid but will not verify the attorney's fees.
- H INDIAN GAMBLING INDUSTRY: Per capita disbursements are considered income in the month received. Any amount remaining in a following month will be counted as a resource.
- I INSURANCE: Insurance payments made directly to the insured must be considered income IF the money is not used to replace or repair insured items, such as car, roof repair, or medical bills. Insurance benefits, which are used for or are intended to meet basic daily needs, are counted as unearned income.
- J INTEREST, DIVIDENDS, AND ROYALTIES: Any interest, dividend, or royalty payments, exceeding \$50 in the 30 days prior to and including date of application made directly to the individual, are counted as unearned income. Funds left on deposit or converted into additional securities are a resource.
- K LEGAL SETTLEMENTS: Legal settlements, less attorney fees and medical bills paid by the attorney out of the settlement, are unearned income in the month received.
- L LUMP SUM PAYMENT: Any form of income received in a lump sum payment, including but not limited to:
  - 1. Inheritance
  - 2. Winnings from lotteries, bingo, or any other form of gambling
  - 3. Insurance settlements including amount withheld as a lawyer's fee
  - 4. Property Tax Credit
  - 5. Rebates/Credits
  - 6. Refund Deposit
  - 7. Severance Pay

- N RENTAL INCOME: If the property owner does not perform any services in order to receive the income, it is unearned income.
- O RETIREMENT INCOME: The payments from retirement funds, pensions, and annuities must be considered unearned income.
- P SOCIAL SECURITY ADMINISTRATION BENEFITS: SSA benefits (sometimes referred to as RSDI-Retirement, Survivors, and Disability Insurance) are granted to eligible wage earners and/or their dependents or survivors and are counted as unearned income. **FOR THE LIHEAP PROGRAM DO NOT INCLUDE THE MEDICARE DEDUCTION IN THE TOTAL AMOUNT**
- Q SUPPLEMENTAL SECURITY INCOME (SSI): Monthly cash payments made under the authority of Title XVI of the Social Security Act, as amended, to the aged, blind, and disabled (A Federally financed public assistance program). The recipient need not have contributed to the Social Security Fund to be eligible for SSI benefits.
- R STRIKE PAY: from unions to striking employees is not wages and must be considered unearned income. If there is no check stub, verification can be obtained by calling the Union.
- S UNEMPLOYMENT INSURANCE (UI): Considered unearned income in the month received. The amount of income can be verified by a check stub or contacting the local UI office.
- T VETERANS ADMINISTRATION BENEFITS (VA): Retirement, Survivors, Disability, and Educational Benefits are paid to veterans and their dependents or survivors. Only the amount of the benefit, which is actually received by the person whose income must be included, will be counted.

### 900.08 Verification of Unearned Income

- A. Gross income must be verified before approval. Acceptable verification includes but is not limited to:
1. Assistance payment records
  2. Award letter
  3. Bank records
  4. Court records
  5. Division of Child Support Services (DCSS) printouts
  6. Divorce or separation papers contact with the Clerk of the Court
  7. The current check when it reflects gross income. Federal government checks are not to be photocopied
  8. Signed statement from the agency or payer providing the income

9. Client's statement **WHEN NO OTHER VERIFICATION CAN BE OBTAINED**. All other possible verification sources must be exhausted before accepting a client statement. Caseworker must document all attempts to verify why the client's statement is being allowed.

***\*Exception: At the Service Provider's discretion, client statement may be used to verify household income when the household contains a member(s) who verifies current receipt of either TANF Cash Assistance; Supplemental Nutrition Assistance Program (SNAP); or Supplemental Security Income (SSI) benefits.***

### 900.09 Excluded Income

Only the income discussed in this section will be excluded.

- A. Insurance payments designated to repay a specific bill, debt, or estimate, which cannot be used for other needs, is not countable
- B. WIC – Payments or benefits to persons participating in the WIC program (Special Supplemental Food Program for Women, Infants, and Children) must be disregarded
- C. Retirement, pension, and annuity interest/dividends are not countable as long as the money **cannot** be withdrawn **without penalty**
- D. Bureau of Indian Affairs (BIA) work-study program. This includes monies provided for educational and living expenses
- E. Work study programs funded under Title IV of the Higher Education Act
- F. Any portion of an education grant or scholarship received by a household member
- G. Earned income of a child 16 and 17 years of age who is a full-time student
- H. Earned income of a child under 16 years of age
- I. Cash gifts of \$50.00 or less per month per household member
- J. Non-cash benefits provided on behalf of a household member but not paid directly in the name of the household member, including but not limited to vouchers for food, clothing, or housing
- K. Loans that need to be repaid, including Reverse Mortgages

- L. Money that a household member receives and uses for the care and maintenance of a person who is not a household member
- M. Payments/vouchers received by the household from the State for the health/well-being of a foster child residing in the household
- N. Stipends from senior companion programs – VISTA, Title II, Title V
- O. Earned Income Tax Credit
- P. Income Tax Refund
- Q. Reimbursements, e.g., mileage, gas, lodging and meals
- R. Agent Orange Payments
- S. Ameri-Corps Network Program payments for living allowances, earnings, and in-kind aid. The Ameri-Corps Network Program includes but is not limited to:
  - 1. Arizona Conservation Corp
  - 2. Arizona Council of Centers for Children and Adolescents (ACCCA)
  - 3. Border Volunteer Corps (BVC), Mesa Ameri-Corps Community Services Partnership Rural Health Office, University of Arizona, Youth in Action, Learn and Serve (NAU) Child Care Food Program payments
- T. Disaster or emergency assistance provided by the Federal Disaster Relief Act or comparable assistance provided by States, local governments and disaster assistance organizations
- U. Housing and Urban Development (HUD) – Some individuals residing in HUD housing are granted benefits either in the form of credits against their rent or as cash allowances. The cash allowance must be used for the purpose intended, (rental or utility obligation)
- V. Education and Employment: (a) Any wages, allowances, or reimbursement for transportation and attendant care cost, unless accepted on a case-by-case basis, when received by an eligible person with a disability employed in a project under Title VI of the Rehabilitation Act of 1973 as added by Title II of Public Law 95-602 (92 Stat. 2992, 29 U.S.C. 765(b)(c))
- W. Payments to members of specific Indian Tribes and Groups:
  - (a) Settlement fund payments and the availability of such funds to members of the Hopi and Navajo Tribes under section 22 of Public Law 93-531 (88 Stat. 1722) as amended by Public Law 96-305 (94

Stat. 929) (Note: This exclusion applies to the income of sponsors of aliens only if the alien lives in the sponsor's household.)

- (b) Any distributions of judgment funds to members of the San Carlos Apache Indian Tribe of Arizona under section 7 of Public Law 93-134 (87 Stat. 468) and Public Law 97-95 (95 Stat. 1206) (Note: This exclusion applies to the income of sponsors of aliens only if the alien lives in the sponsor's household.)

#### X. Adoption Subsidies/Reimbursements

Adoption Subsidy payments are federally, state, or locally funded assistance payments provided to children with special needs. These payments are intended to help a child whose special needs otherwise might hinder their adoption. Adoption Subsidy payments vary depending on the special needs of the child. Adoption subsidy payments are NOT COUNTABLE as income.

#### Y. Other:

- a. Compensation provided to volunteers by the Corporation for National and Community Service (CNCS), unless determined by the CNCS to constitute the minimum wage in effect under the Fair Labor Standards Act of 1938 (29 U.S.C. 201 et seq.), or applicable State law, pursuant to 42 U.S.C. 5044(f)(1) (Note: This exclusion does not apply to the income of sponsors of aliens.)
- b. Any assistance to an individual (other than wages or salaries) under the Older Americans Act of 1965 as amended by Section 102 (h)(1) of Pub. L. 95-478 (92 Stat. 1515, 42 U.S.C. 3020a)
- c. Amounts paid as restitution to certain individuals of Japanese ancestry and Aleuts for losses suffered as a result of evacuation, relocation, and internment during World War II, under the Civil Liberties Act of 1988 and the Aleutian and Pribilof Islands Restitution Act, sections 105(f) and 206(d) of Public Law 100-383 (50 U.S.C. App. 1989 b and c)
- d. Payments made under section 6 of the Radiation Exposure Compensation Act, Public Law 101-426 (104 Stat. 925, 42 U.S.C. 2210)
- e. Payments made to individuals because of their status as victims of Nazi persecution excluded pursuant to section 1(a) of the Victims of Nazi Persecution Act of 1994, Public Law 103-286 (108 Stat. 1450)

- f. Any matching funds from a demonstration project authorized by the Community Opportunities, Accountability, and Training and Educational Services Act of 1998 (Pub. L. 105-285) and any interest earned on these matching funds in an Individual Development Account, pursuant to section 415 of Pub. L. 105-285 (112 Stat. 2771)
- g. Any earnings, Temporary Assistance for Needy Families matching funds, and interest in an Individual Development Account, pursuant to section 103 of the Personal Responsibility and Work Opportunity Reconciliation Act of 1996 (Pub. L. 104-193, 42 U.S.C. 604(h)(4))
- h. Payments made to individuals who were captured and interned by the Democratic Republic of Vietnam as a result of participation in certain military operations, pursuant to section 606 of the Departments of Labor, Health and Human Services and Education and Related Agencies Appropriations Act of 1996 (Pub. L. 105-78)
- i. Payments made to certain Vietnam veterans' children with spinal bifida, pursuant to section 421 of the Departments of Veterans Affairs and Housing and Urban Development, and Independent Agencies Appropriations Act of 1997 (Pub. L. 104-204, 38 U.S.C. 1805(a))
- j. Payments made to certain Vietnam veterans' children with spinal bifida, pursuant to section 421 of the Departments of Veterans Affairs and Housing and Urban Development, and Independent Agencies Appropriations Act of 1997 (Pub. L. 104-204, 38 U.S.C. 1805(a))
- k. Criteria for a [medical deduction](#) falls under loss of income or excessive expense regarding eligibility for a LIHEAP benefit. Income Eligible households will be entitled to up to a 10% deduction to their gross household income for out of pocket medical expenses within the 30-day income guidelines for the program. Only one 10% deduction will be allowed per household.
  - a. Medical expenses are eligible for consideration for deductions from gross income with the proper documentation such as a doctor's recommendation or prescription with an accompanying receipt for item(s) as listed but are not limited to the following:
    - Transportation to medical appointments (such as dial-a-ride, Lyft, etc.)
    - Medications not covered under Medicare Part D
    - Purchase of small medical devices (needles for diabetics, test strips, neck braces, etc.)
    - Out of pocket medical copays

- Doctor or physician expenses in office
- Lactation Equipment
- Small in-home accommodations such as handrails or grab bars anywhere, moving or modifying electrical outlets and fixtures or modifying hardware on doors or cabinetry, reasonable accommodations for disability

## **900.10 Income Source**

The income eligibility determination will be completed prior to approving financial assistance.

### **A. Documentation**

The case file must be clearly documented. Documentation must include, but is not limited to:

1. Discussion with individual;
2. Verification received from the income source:
  - a) Hours worked
  - b) Pay period end date
  - c) Actual pay dates
  - d) Frequency of pay
3. Extra income – such as, bonuses, tips, commissions, overtime
4. Explanation of how self-employment income was determined
5. Date, name, phone number and information about the collateral contacts
6. Identify the time frame by dates for the 30-day period prior to and including the date of application, i.e., from (month/date) to (application date)
7. Using the frequency and the day of the week paid from a calendar; determine the number of pay dates in the thirty-day period
8. Documentation of any decision-making processes involved in assessing the documentation when processes are not clearly defined in policy.

**900.11 Calculating Income**

- A. Identification of the 30-day period prior to and including the date of application: i.e., from (month/date) to (application date)
- B. The number of pay dates in the 30-day period; determine frequency of pay date and the day of the week paid
- C. Write the received dates and the gross income
- D. Total this and any other income for the household to calculate the gross income. This process is used to determine if the household is eligible under the required poverty guidelines for LIHEAP
- E. Medical expense (as of 10/1/2020)

**900.12 Future Income**

A Service Provider cannot deny assistance through the LIHEAP program due to the household's lack of resources to meet future needs.

**1000 DECISION NOTICES****1000.01 Approval Notices**

When the decision is to approve assistance for **Low Income Home Energy Assistance Program (LIHEAP)**, the Service Provider's approval notice of LIHEAP assistance received is provided to the applicant. No further action will be required. If the client refuses the copy of the completed approval page at the time of the application, the Service Provider must document this in the file. When the decision reported is to approve assistance, the approval notice or application is acceptable means of notification. No further action is required. The applicant must be handed or mailed a hard copy of the approval notice or completed application within five (5) working days of application date.

**1000.02 Denial Notices**

If the Service Provider determines that the household is not eligible prior to completing the application, no written decision needs to be given to the household.

When the decision is to deny or reduce assistance, the denial reason must be stated on the denial letter, or on the application, which is given to the applicant.

The applicant has the right to appeal this decision. Instructions for initiating the appeal process are listed below in Section 1100, Grievance Process.

When the decision reported is to deny or reduce funded assistance, the reason for such denial must be stated on the intake form, application or denial letter. The applicant is handed or mailed a hard copy of the denial notice within five (5) working days of application date.

### **1000.03 Payment Process**

The Service Provider will make direct payments to vendors and will receive reimbursement through the DES/DAAS contract invoice process.

### **1000.04 Vendor Refunds**

Any unused payments or deposits made with LIHEAP funds which are eligible for refund to the client must be returned to the client when possible. When the client cannot be located, funds must be returned by the vendor to a designated Fuel Fund Entity. Funds older than two years will be remitted to the Federal Government.

Funds returned from vendors to a designated Fuel Fund Entity must be accompanied by the following information:

- Client name
- Agency issuing benefit
- Benefit amount
- Date the benefit was paid
- Account number
- Funding source

## **1100 GRIEVANCE PROCESS**

This section addresses the grievance process and clients who choose to escalate their grievance to the state level. Each Service Provider must have a grievance procedure in place as defined in their respective contract. The Service Provider should include the DES grievance process contained in this section when providing their internal process to the applicant. Service Provider's internal grievance process should allow for a client to attempt to resolve complaints at the local level in an informal manner. First the applicant/recipient must follow the Service Provider's process prior to appealing with DES. Should an individual decide to appeal the local Service Provider's decision they may appeal through the DES grievance process.

A grievance procedure is a process through which any individual may have a decision reviewed by a third party in accordance with *Arizona Administrative Code R-5-2404*. An opportunity for a grievance hearing shall be granted to any applicant who requests a hearing because their application for LIHEAP assistance was denied, terminated or incurred a benefit reduction. There are four steps to the procedure;

1. An opportunity to file a request for a fair hearing regarding any adverse action shall be granted by the Service Provider 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 ten (10) working days provide in writing a statement of the grounds for the hearing. The request must be submitted to the Service Provider within ten (10) working days after the mailing date on the decision letter. The Service Provider receiving the grievance will make all efforts to resolve the issues within ten (10) working days of the request.

**DEPARTMENT OF ECONOMIC SECURITY – Mail Drop  
6283  
Division of Aging and Adult Services  
Community Action and Aging Programs  
Administrator  
P.O. Box 6123  
Phoenix, AZ 85005-6123**

2. In the event the applicant/recipient wishes to appeal the decision of the Service Provider, the applicant/recipient may within ten (10) working days of receiving the Service Provider’s decision letter appeal in writing to the DES/DAAS Assistant Director. The Assistant Director will assign the appropriate personnel to conduct the hearing. A decision will be provided within thirty (30) working days of the appeal letter.

**DEPARTMENT OF ECONOMIC SECURITY – Mail Drop 6283  
Assistant Director  
Division of Aging and Adult Services  
P.O. Box 6123  
Phoenix, AZ 85005-6123**

3. In the event the applicant/recipient wishes to appeal the decision of the Fair Hearing, the applicant/recipient may within ten (10) working days of receiving 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 sixty (60) days of the request.

**Office of Community Services  
The US Department of Health and Human Services  
200 Independence Ave, SW  
Washington DC, 20201**

**1100.01 Service Provider’s Additional Responsibilities to the Applicant/Recipient**

The Service Provider will provide the applicant/recipient with a copy of their application. The Service Provider is also responsible for the following hearing related activities:

- A. Upon written or verbal request, provide the applicant/recipient with materials needed to prepare for the review, including copies of pertinent documents in their case file.
- B. The grievance hearing notification shall be given to the applicant/recipient at least twenty (20) calendar days prior to the date set for the hearing and include: date, time, address and a statement of the issues involved.
- C. Determine whether a bilingual interpreter or other alternative form of communication is needed.
- D. The Service Provider shall render a written decision to the appellant no later than twenty (20) calendar days from the date of the hearing.
- E. The applicant/recipient must be advised of their right to appeal the decision and process by which to do so.

**Note: All documents given to the public must include a reasonable accommodation statement.**

#### **1100.02 Service Provider's Responsibilities to the Division of Aging and Adult Services**

The Service Provider is responsible for providing the following information to DES/DAAS within ten (10) working days from the request:

- A. A grievance packet that contains the appellant's application, verification documents which justify the action the Service Provider has taken, case notes, printouts and all other information relevant to the issue, and a copy of the denial notice given to applicant.
- B. A summary of the circumstances supporting the Service Provider's determination which is at issue including copies of all pertinent documentation.
- C. The date the hearing was conducted.

#### **1100.03 Service Provider's Appeal Rights**

Service Providers have the right to appeal a decision made by DES/DAAS. A written request must be submitted to DES/DAAS within ten (10) working days of the post-mark date of the DES/DAAS decision letter. The request must be signed,

dated and contain the reason for requesting the hearing. The request must be submitted to:

**DEPARTMENT OF ECONOMIC SECURITY – Mail  
Drop 6283  
Division of Aging and Adult Services  
Community Action and Aging Programs  
Administrator P.O. Box 6123  
Phoenix, AZ 85005-6123**

**1100.04 Division of Aging and Adult Services Responsibilities**

DES/DAAS is responsible for the following hearing related activities:

- A. Upon written or verbal request, provide the applicant/recipient with contact information for available legal service.
- B. Upon written or verbal request, provide the applicant/recipient with materials needed to prepare for the hearing, including copies of pertinent documents in their case file.
- C. The hearing notice shall be given to the applicant/recipient at least twenty (20) calendar days prior to the date set for the hearing and include: date, time, address and a statement of the issues involved.
- D. Determine whether a bilingual interpreter or other alternative form of communication is needed.
- E. DES/DAAS shall render a written decision to the applicant/recipient and Service Provider no later than twenty (20) calendar days from the date of the hearing.

**1105.01 Assurance 16****1105.01 PROGRAM ACTIVITIES**

**Allowable Assurance 16 activities/costs** include any activity/cost that reduce household energy need in a manner that is planned, comprehensive, intentional, deliberate, focused, long-term, and/or intensive. A few examples are below:

- A. *Vendor Advocacy* – Helping the client to communicate effectively with their utility vendor to maintain service.
- B. *Needs Assessment and Referral* – Reviewing the client’s case record and identifying the most appropriate referrals.
- C. *Energy Education* – Furnishing information about how to reduce energy usage and obtain energy efficiency services.
- D. *Financial Counseling* – Working with the client to improve financial management skills and proactively manage energy bills.
- E. *Energy Kits*- Energy Conservation Kits are assembled to help clients take steps to save energy in the home. This can also include handing out lightbulbs, A/C filters, etc.
- F. *Mailing* - Printing costs and postage to mail A16 materials and information.

**Unallowable Assurance 16 activities/costs** would include any activity/costs are be:

- A. Office space, desks, equipment, supplies.
- B. Non-LIHEAP personnel referring people for energy assistance. For instance, a Head Start employee who spends time assessing client needs and decides the household needs energy assistance is doing Head Start referral activities, not A16.
- C. Indirect costs, human resources, IT support.
- D. Staff time spent when a caller inquires about programs available to assist their family. It is not an A16 activity to determine that a household should apply for energy assistance. That is considered a shared administrative cost with other programs.
- E. Postage and time to mail or hand out LIHEAP applications.
- F. Heat or crisis benefits.
- G. Weatherization or home repair.
- H. Leveraging activities.

**1105.02 Assurance 16 Reporting**

Community Action agencies may utilize the state provided reporting document or they may provide the State of Arizona with a document that tracks items

such as expenditures, activities, etc. Current tracking methods include but are not limited to the following:

- A. Cost Allocation
- B. Hourly
- C. Activity
- D. Utility vendor report

**EXHIBIT I****INSTRUCTIONS FOR VERIFYING CITIZENSHIP AND QUALIFIED IMMIGRANT STATUS****Definition of U.S. Citizenship**

U.S. citizenship is established at birth when an applicant is born in the U.S., its territories, or possessions. U.S. territories or possessions include any of the following:

- American Samoa
- Guam - on or after January 17, 1917
- Northern Mariana Islands – on or after November 4, 1986
- Panama Canal Zone - on or after February 26, 1904
- Puerto Rico - on or after July 1<sup>st</sup>, 2010 (Senate Bill 1182, Law #191 of 2009)
- Swain Islands
- U.S. Virgin Islands - on or after January 17, 1917

**Verification of U.S. Citizenship**

**TO BE POTENTIALLY ELIGIBLE APPLICANTS WHO DECLARE U.S. CITIZENSHIP OR LEGAL RESIDENT STATUS MUST PROVIDE DOCUMENTATION FOR VERIFYING, WITH THE FOLLOWING EXCEPTIONS:**

- The following participants are exempt if they are receiving the following services: Currently receiving Social Security Disability (SSD)...
- Currently receiving Supplemental Security Income (SSI). This includes participants who move here from another state and are in the process of transferring their SSI benefits to Arizona.
- Currently receiving Medicare (g).
- Eligible in the Deemed Newborn MA category.
- Children in Foster Care assisted under title IV-8 of the Social Security Act. Children who are recipients of Foster Care maintenance or adoption assistance payments under title IV-e.
- Children receiving adoption subsidies.

**Note:** The participants receiving the service must provide an award letter or documentation as proof of receiving the service. Once the participant is no longer receiving the benefits that meet the exemption criteria, they must then provide the proper and approved documentation as described in the section below.

## Approved Documentation

Citizenship may be verified using ANY of the documents indicated under sections A, B, C or D immediately below:

### A. Primary – Verification Documents

1. A birth certificate showing birth in the U.S., its territories or possessions.
2. Certificate of Birth issued by the Department of State (FS-545 or DPS-1350).
3. U.S. Passport current or expired, except limited passports which are issued for periods of less than 5 years.
4. U.S. Passport Card issued by the United States Citizenship and Immigration Services (USCIS).
5. Certificate of Naturalization (N-550 or N-570).
6. Certificate of U.S. Citizenship (N-560 or N-561).
7. Report of Birth Abroad of a U.S. Citizen (FS-240) issued by the U.S. State Department.
8. U.S. Consular officer's statement.
9. A United States Citizen Identification Card (1-197).
10. Northern Mariana Identification Card (1-873).
11. A tribal enrollment card or Certificate of Indian Blood issued by a federally recognized Indian Tribe that shows that the person is enrolled or affiliated with that tribe.
12. American Indian Card (1-872) issued by USCIS with the classification code KIC. The benefit granting Service Provider shall require the applicant to present a membership card or other tribal document demonstrating membership in an Indian tribe. If the applicant has no document evidencing tribal membership, the benefit granting Service Provider should contact the Indian tribe for verification of membership.

### B. Secondary – Verification Documents

1. An identification card for use of Resident Citizen (1-179).
2. U.S. Census record that shows the applicant's name, a U.S. place of birth and the date of birth or the applicant's age when the record was made. It must also indicate a place of birth in the U.S., its Territories or Possessions.

3. Religious record created within three months after birth, showing the participant's date of birth, OR the participant's age when the record was made. It must indicate a place of birth in the U.S. Territories or Possessions.
4. Proof of employment as a U.S. Government Civil Servant before June 1, 1976.
5. Early school records, showing the date of admission, the child's date and place of birth and the names and places of birth of the parents.

Adoption finalization papers showing the child's name and place of birth in the U.S., its territories or possessions. (When adoption is not finalized, and the State will not release a birth certificate prior to final adoption, a statement from a state approved adoption Service Provider containing the child's name and place of birth may be used. The source of information must be an original birth certificate and must be indicated in the statement).

### C. Primary or Secondary Documents Are Not Available

When none of the primary or secondary documents are available, accept any other document that establishes a U.S. place of birth or in some way indicates U.S. Citizenship. These include the following:

1. Certificates of Live Birth signed by a hospital official and parent
2. Medical records created at least five years before applying for services that list a U.S. place of birth (For children under age 16 the documents must be created near the time of birth OR five years prior to the application date. These include: hospital wrist bands, crib cards, or yellow copies of hospital birth certificates indicating birth in the U.S., its territories or possessions (See U.S. Citizenship on page 1).)
3. American Indian Census Records
4. Verification from the U.S. Citizenship and Immigration Services (USCIS). (The documentation **CANNOT** be expired.)
5. Verification from the Social Security Administration, e.g. award letter
6. Verification sent directly to the agency from a local, state or federal bureau of vital records office
7. Legal records showing the applicant's name and place of birth in the U.S., its territories or possessions
8. Department of Homeland Security (DHS), Verification Information System (VIS) response that validates U.S. Citizenship

9. Online data match screen print with the Arizona Department of Vital Records through the AHCCCS Citizenship Verification System
  - AHCCCS Award Letter is acceptable as verification.
10. Military papers - When verifying military service criteria, the following apply:
  - An honorably discharged veteran of the Armed Forces of the U.S. must present an original or notarized copy of the veteran's discharge papers
  - Verify active duty status with an original or notarized copy of the applicant's current orders or a military ID card (DD form 2(active))
  - A spouse or unwed dependent child of a veteran or active duty non-citizen must provide a document to verify relationship along with military verification requirements
  - A stepchild living with the stepparent must provide documents to verify relationship along with military verification requirements
11. Marriage certificate showing marriage to a U.S. male citizen before September 22, 1922
12. Life, health or other insurance record, created at least five years before the application date (Record must indicate a place of birth in the United States)
13. State census records that show the participant's name, a U.S. place of birth, and the date of birth or age of the participant
14. Tribal census records for the Navajo or Seneca tribes (The records must be created at least five years before the application and list a U.S. place of birth.)
15. An official notification of birth registration from a U.S. State's Department of Vital Statistics
16. An amended U.S. public birth record that is amended more than five years from the applicant's birth
17. A statement signed by the physician or midwife who was in attendance at the time of birth
18. The roll of Alaska Natives from the Bureau of Indian Affairs
19. A **current** decision letter from the ADES/Family Assistance Administration that demonstrates eligibility for the Food Stamp or Cash Assistance Programs (The award letter must list the Low Income Home Energy Assistance Program (LIHEAP) applicant as an eligible member of the household and for Short Term Crisis Services (STCS) Program the qualifying child must be listed as an eligible member of the household.)

20. A DES SNAP/TANF case management system record match, indicating that the individual is currently receiving SNAP or TANF benefits.

#### **D. Primary or Secondary Documents Not Obtainable**

When the applicant cannot obtain the Primary or Secondary forms of verification they may provide an Affidavit Attesting Citizenship. An Affidavit Attesting Citizenship must meet all of the following requirements:

1. Be completed by a U.S. Citizen who is knowledgeable about the participant's circumstances
2. Be signed by a U.S. Citizen that is not a member of the household
3. Be approved by the Case Manager Supervisor
4. Document the reason for using the affidavit form

#### **Acceptable Copies**

Only original or un-tampered certified copies of required documents are acceptable for verifying citizenship.

#### **Verification of Qualified Immigrant**

##### **Qualified immigrant or Resident immigrant Categories**

Applicants, who state they are Resident immigrants , must meet at least one of the categories set forth immediately below:

#### **A. Resident Immigrant**

Resident Immigrant is admitted into the U.S. for permanent residence under the Immigration and Nationality Act (INA). This Resident Immigrant is potentially eligible for services when they meet any of the following:

- 1) They have been continuously lawfully residing in the U.S.
- 2) They have a [military connection](#)
- 3) They are American Indians born in Canada who possess at least 50 per centum of American Indian Blood. These Non-Citizen Legal Residents are recognized as Resident Immigrants

These applicants normally have one of the following USCIS documents.  
(NOT ACCEPTABLE IF DOCUMENTS ARE EXPIRED):

- 1) I-551- Resident Alien Card (Eligible for Benefits)
- 2) I-151- Alien Registration Receipt Card (Eligible for Benefits)

- 3) I-194- or unexpired passport with the words: Processed for 1-551

**Temporary Evidence of Lawful Permanent Residence. Valid Until (Date)  
With the following Stamp/Annotations of Law**

- 1) Adjustment Admission Stamp – Eligible when any of the following sections of law are indicated: 203(a)(7); 207;208;212(d)(5); 243(h)(with a Prucol determination)
- 2) Non-Specific Admission Stamp – Eligible when the form is noted with a 1- 551 eligible status code
- 3) Parole Admission Stamp – Eligible when the period of parole is for at least one year as verified on the stamp
- 4) Replacement Admission Stamp - Eligible when the stamp displays an I-551 eligible Status Code
- 5) 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."

**NOTE: The client's foreign passport with the MRIV is evidence the client has permanent residence status for 1 year from the date of admission. Even if the MRIV is issued without the statement "FOR 1 YEAR," agencies should treat the MRIV as an acceptable document valid for 1 year from the date of admission. If the stamp in the passport is endorsed and is near but not on the immigrant visa, it is still a valid endorsement.**

- b) Asylee

An Asylee, Non-Citizen Legal Resident is granted asylum through an exercise of discretion by the Attorney General, pursuant to Section 208 of INA. This Non-Citizen is potentially eligible for benefits for a period of seven years from the date their status is granted.

**Note:** The eligibility period begins from the month the Asylee status is granted, NOT the month of U.S. entry.

These applicants normally have one of the following USCIS documents.  
(NOT ACCEPTABLE IF DOCUMENTS ARE EXPIRED):

- I-94 with one of the following:

A stamp showing grant of asylum under Section 208 of the INA to include:

- A. AS1 - Eligible for benefits
- B. AS2 - Eligible for benefits
- C. AS3V92 - Eligible for benefits

### **Refugee or Amerasian**

A Refugee or Amerasian is admitted into the U.S. under Section 207 of INA. This Non-Citizen is potentially eligible for benefits for a period of seven years from the date that their status is granted.

These applicants normally have one of the following USCIS documents.  
(NOT ACCEPTABLE IF DOCUMENTS ARE EXPIRED):

I-94- endorsed to show entry as a refugee under Section 207 of the INA or entry as an Amerasian OR noted with one of the following Status Codes: NP2 - 7; P2 -6, -7, -71; RE-8; Z2; (Eligible for Benefits).

### **Victim of Human Trafficking**

A victim of human trafficking is admitted onto the U.S. under the Trafficking Victims Protection Act (TVPA) of 2000. This Non-Citizen Legal Resident is potentially eligible for services for a period of seven years from the date that their status is granted. These applicants normally have one of the following USCIS documents:

- **I-94- with a T Visa or Derivative T Visa (T, T-2, T-3, T-4, or T-5)**  
(NOT ACCEPTABLE IF DOCUMENTS ARE EXPIRED).

### **Resident Alien Paroled into The U.S.**

A Resident Alien paroled into the U.S. is lawfully present in the U.S. as a result of a grant of parole by the Attorney General, pursuant to Section 212(d) (5) of the INA. This Resident Immigrant is potentially eligible for services when the period of the parole is for at least one year. These applicants normally have one of the following USCIS documents (NOT ACCEPTABLE IF DOCUMENTS ARE EXPIRED):

- I-94 - with PAROLE PURSUANT TO SECTION 212(d) (5) on the front.

The form must not be expired, and the expiration date must be at least one year after the issue date. Both dates are documented on the form (Eligible for Benefits).

### **Resident Alien Whose Deportation Is Withheld**

A Resident Alien whose deportation is withheld is a Resident Alien for whom the Attorney General has withheld deportation from the U.S. pursuant to Section 243(h) or 241 (b)(3) of the INA. A Resident Alien whose deportation is withheld is potentially eligible for services for a period of seven years from the date of the judge's orders.

These applicants normally have one of the following USCIS documents:  
(NOT ACCEPTABLE IF DOCUMENTS ARE EXPIRED).

I-94 – with an order from an immigration Judge showing one of the following:

- Deportation withheld under 243(h) of the INA (Eligible for Benefits)
- Removal withheld under 241(b)(3) of the INA (Eligible for Benefits)

### **Cuban or Haitian Entrant**

Cuban or Haitian entrants are admitted to the U.S. by USCIS as a Cuban or Haitian entrant pursuant to Section 501 (e) of the Refugee Education Assistance Act of 1980 (PL 104-93). Cuban or Haitian entrants are potentially eligible for benefits for a period of seven years from the date that their status is granted.

These applicants normally have the following USCIS document:  
(NOT ACCEPTABLE IF DOCUMENTS ARE EXPIRED)

- I-94 with the words: CUBAN/HAITIAN ENTRANT UNDER 212(D) OF THE INA (Eligible for Benefits)

### **Conditional Entrant**

A conditional entrant was granted conditional entry into the U.S. before April 1, 1980, pursuant to Section 203 (a) (7) of the INA. Conditional entrants are potentially eligible for benefits regardless of any later change in their status.

These applicants normally have one of the following USCIS documents.  
(NOT ACCEPTABLE IF DOCUMENTS ARE EXPIRED):

- I-94 – with the words: ADMITTED AS A REFUGEE – CONDITIONAL ENTRY under Section 203(a) (7) of the INA. (Eligible for Benefits)

### **Abused or Battered Resident Immigrants**

Documented non-citizen asylum seekers may become qualified Resident Immigrant when they have suffered abuse from a parent or a spouse.

The Service Provider staff must inform the Abused or Battered applicant of the following:

1. Applicant must contact the USCIS to obtain a Petition for Abused Immigrants
2. The abuse must have occurred in the U.S. and the abusive person must be a U.S. Citizen or Lawful Permanent Resident
3. They must currently reside in the U.S.
4. They must provide all documentation verifying continuous residency in the U.S.

**Note:** All periods of time that are not accounted for must be addressed by an applicant statement.

In order for the Non-Citizen to be eligible under this category, they must meet ALL of the following:

1. Possess appropriate USCIS status
2. Be battered or subject to extreme cruelty
3. Have a substantial connection between battery and the need for benefits
4. No longer residing with the batterer

### **Indefinite Detainee**

Indefinite detention status pertains to Non-Citizens who have served their time for a criminal conviction and have been given formal orders to leave the U.S. Subsequently, Indefinite Detainee status is met when the Non-Citizen can indefinitely remain the U.S. because neither their home country, nor any other country will accept them.

### **Military Connection**

Non-Citizens who meet both of the following criteria are potentially eligible for benefits, regardless of their date of entry:

1. They are a qualified immigrant
2. They meet one of the following military service criteria:
  - A. An honorably discharged veteran or person on active duty
  - B. On active duty in the Armed Forces of the U.S.
  - C. A spouse of a veteran or person on active duty who meets one of the following:
    - a) Is legally married to the veteran or person on active duty
    - b) Is legally separated from the veteran or person on active duty
    - c) Is a widowed spouse of the veteran or person on active duty and has not remarried

**Note:** The applicant remains eligible regardless of whether they are living together or apart; the veteran or active duty person can be a U.S. Citizen or a Resident Immigrant

When verifying military service criteria, the following apply:

3. An honorably discharged veteran of the Armed Forces of the U.S. must present an original or notarized copy of the veteran's discharge papers
4. To verify the active duty status an original or notarized copy of the applicant's current orders or a military ID card (DD form 2 (active)) may be used
5. Only full-time Air Force, Army, Navy, Marine or Coast Guard is eligible
6. Any Reserve or National Guard duty is excluded

A spouse or single dependent child of a veteran or active duty alien must provide a document to verify relationship along with military verification requirements.

### **Qualified USCIS Identification Cards**

This section identifies alien ID cards that applicants may provide to determine whether they meet one of the qualified Immigrants requirements to receive benefits. Documents cannot be EXPIRED.

#### **I. USCIS Identification Cards**

The eligible ID cards listed in this section are as follows:

1. I-94 Arrival/Departure Record
2. POTENTIALLY ELIGIBLE depending on the following:

- I-94 admission stamp used, section of law/class-code annotations; Applicant must also meet a qualified Non-Citizen Immigrant Status criteria identified in Section II-A. NOT ELIGIBLE for benefits when the document lacks a registration number

##### **a. I-94 Parole Edition**

POTENTIALLY ELIGIBLE depending on the following:

I-94 admission stamp used; section of law/class-code annotations; Applicant must also meet a qualified Non-Citizen Legal Immigrant Status criteria identified in Section II-A. NOT ELIGIBLE for benefits when the document lacks a registration number.

##### **b. I-151 Alien Registration Card**

POTENTIALLY ELIGIBLE -The 1-151 is the original green card. Many however were printed on blue paper; several versions of this card exist.

Applicants must also meet qualified Non-Citizen Legal Resident Status criteria identified in Section 11-A.

**c. I-551 Permanent Resident Card**

**d. Visa Stamps in Foreign Passports – Eligible when all of the following occur:**

- I. The Visa is stamped “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.”
- II. Neither the Visa NOR the passport have expired. The passport's expiration date is normally found on the same page as the person's photograph.

**Note:** Applicants, who have expired, lost or otherwise cannot locate their immigration documents from USCIS are responsible for contacting USCIS for replacement documents.

**Note:** Qualified Non-Citizen Legal Residents may have documents described as eligible; Case Managers must examine documents to establish their expiration date and cannot accept expired documents.

**Affidavit That Document(s) Is/Are True**

An eligible applicant must execute a sworn affidavit (see Exhibit IV) stating that the documentation provided as listed on this document during the verification process is/are true.

1. Contractors who determine eligibility for these programs will be required to ensure that a sworn affidavit is obtained in a way that does not delay the eligibility determination process or add cost to the process for the applicant.
2. Eligible applicants are exempt from providing an affidavit only if they are **60 years of age or older**, if they are **Tribal Members** or if they are **disabled or have an incapacity of the body or mind** which makes them unable to supply such affirmation.
3. Any contractor classified as a non-profit charitable organization must notify Department of Economic Security, Division of Aging and Adult Services (DES/DAAS), if "discovered violations" will not be reported to ICE, also:

- A. Contractors will establish their own process for reporting discovered violations to the Federal Department of Immigration and Customs Enforcement (ICE) and are advised to consult with legal counsel or ICE for further guidance.**

### **Determining citizenship Status**

To determine Qualified or Unqualified Immigrant status, complete the following:

1. Ask the applicant for their USCIS documentation. When the applicant states they do not have documentation, do not question the participant further regarding their non-citizen status.
2. When the document is provided, compare the document to the documents listed on pages 4 through 10. If the document is one of the qualified non-citizen documents, the non-citizen has a qualified status.

A nonqualified alien, who is residing in the United States without the knowledge or permission of USCIS, may do one of the following:

1. Voluntarily self-declare that they are residing in the U.S. illegally or
2. Provide Immigrations and Customs Enforcement (ICE) documents verifying violation of USCIS law.
3. When either of these occurs, follow your Service Provider's process for reporting discovered violations to the Federal Department of Immigration and Customs Enforcement (ICE).

### **Non-Qualified Immigrant**

Consider the following Non-Citizens as Non-Qualified Immigrants. Documents include, but are not limited to the following:

1. I-94 (Non-citizens with this document may have either qualified or nonqualified status. The admission stamp annotated on the card determines the non-citizen's status.)
2. I-184 (Crewman Landing Permit)
3. I-185 (Nonresident Alien Canadian Border Crossing Card)
4. I-186 (Nonresident Mexican Border Crossing Card)

Consider the following Non-Citizens as Non-Qualified Immigrant. Documents include, but are not limited to the following:

5. I-444 (-Mexican Border Visitor Permit)
6. I-586 (Nonresident Alien Border Crossing Card)

7. I-688A (Employment Authorization)
8. I-688 (Temporary Resident [This is the first card issued to non-citizens living in the U.S. under the Amnesty Program of the Immigration Reform and Control Act of 1986.]
9. L-688B (Employment Authorization [This is the second card issued to non-citizens under the Amnesty Program of the Immigration Reform and Control Act of 1986.]
10. I-689 (Fee Receipt-Non-citizens [With this card may have either qualified or nonqualified status. The Provision of Law annotated on the card determines the non-citizen's status.]
11. I-766 (Employment Authorization)
12. DSP150 (Border Crossing Card [This card was introduced in 1997. Non-citizens with this card may have either qualified or nonqualified status. The Provision of Law annotated on the card determines the non-citizen's status.]
13. Student Visa (This card was introduced in 1998)

### **Ineligible Alien ID Cards**

When an applicant provides one of the following alien ID cards, they are INELIGIBLE for services and the applicant must provide another eligible document. All these forms expired before January 24, 1990.

- 1) Any alien ID cards that are expired.
- 2) I-181a Memorandum of creation of record of lawful permanent residence)
- 3) I-184 Alien crewman landing permit and identification card
- 4) I-185 Non-resident alien Canadian border crossing card
- 5) I-186 Non-resident alien Mexican border crossing card
- 6) I-444 Mexican border visitor permit
- 7) I-586 Non-resident alien border crossing card
- 8) I-688 Employment authorization
- 9) I-688A Employment authorization document
- 10) I-688B Employment authorization document

- 11) 1-689 Fee receipt
- 12) 1-766 Employment authorization document
- 13) Non-resident border crossing card

# ATTACHMENTS

**ATTACHMENT 1 - AFFIDAVIT (English Version)**

S-1055A FORFF (11-09)

ARIZONA DEPARTMENT OF ECONOMIC SECURITY

**AFFIDAVIT THAT DOCUMENT(S) IS/ARE TRUE**

I, \_\_\_\_\_, swear or affirm,  
under penalty of  
*Printed or typed name*  
perjury, that the document(s) presented by me to prove U.S. citizenship, U.S. national, or alien status  
are true.

DOCUMENT(S)  
PRESENTED:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

\_\_\_\_\_  
*Signature of applicant*

\_\_\_\_\_  
*Date*

Equal Opportunity Employer/Program •Under Titles VI and VII of the Civil Rights Act of 1964 (Title VI & VII), and the Americans with Disabilities Act of 1990 (ADA), Section 504 of the Rehabilitation Act of 1973, and the Age Discrimination Act of 1975, the Department prohibits discrimination in admissions, programs, services, activities, or employment based on race, color, religion, sex, national origin, age, and disability. The Department must make a reasonable accommodation to allow a person with a disability to take part in a program, service or activity. For example, this means if necessary, the Department must provide sign language interpreters for people who are deaf, a wheelchair accessible location, or enlarged print materials. It also means that the Department will take any her reasonable action that allows you to take part in and understand a program or activity, including making reasonable changes to activity. If you believe that you will not be able to understand or take part in a program or activity because of your disability, please let us know of your disability needs in advance if at all possible. To request this document in alternative format or for further formation about this policy, contact 602-542-3882; TTY/TDD Services: 7-1-1.

**ATTACHMENT 1b - AFFIDAVIT (Spanish Version)**

DES-1055A FORFFS (11-09)

DEPARTAMENTO DE SEGURIDAD ECONOMICA DE ARIZONA

**AFIDAVIT QUE EL/LOS DOCUMENTO(S) ES/SON AUTENTICO(S)**

Yo, \_\_\_\_\_, bajo pena de perjurio, juro o confirmo que

*Nombre en tetra de mo/de o escrito por maquina*

el/los documento(s) que se me han presentado como comprobación de ciudadanía de los EE.UU., ciudadano de los E.UV. o estatus migratorio son verdaderos y autenticos.

DOCUMENTO(S) PRESENTADO(S):

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

*Firma de! Solicitante*

*Fecha*

Empleador/Programa con Igualdad de Oportunidades • Bajo los Titulos VI y VII de la Ley de Derechos Civiles del año 1964 (Titulo I y VII) y la Ley de Estadounidenses con Incapacidades del año 1990 (Americans with Disabilities Act: ADA), Sección 504 de la ley de Rehabilitación de 1973, y la Ley de Discriminación a Edad de 1975, el Departamento prohíbe discriminar en los programas, ntradas, servicios, actividades o el empleo basado en raza, color de piel, religion, sexo, origen nacional, edad, e incapacidad. El epartamento tiene que hacer arreglos razonables para permitir a una persona con una incapacidad participar en un programa, servicio actividad. Esto significa, por ejemplo, que si es necesario el Departamento debe proporcionar interpretes de lenguaje en señas para ersonas sordas, un establecimiento accesible para sillas de ruedas, o materiales con letras grandes. Tambien significa que el epartamento tomara cualquier otra medida razonable que le permita a usted entender y participar en un programa o una actividad, cluso efectuar cambios razonables en la actividad. Si usted cree que su incapacidad le impedira entender o participar en un programa actividad, por favor infórmenos lo antes posible que necesita para acomodar su incapacidad. Para obtener este documento en otro ormato u obtener información adicional sobre esta polftica, Harne al 602-542-3882; Servicios de TTY/TDD: 7-1-1.

ATTACHMENT – ELIGIBILITY WORKSHEET – 800 limit

LIHEAP ELIGIBILITY WORKSHEET  
Effective January 1, 2018

APPLICANT NAME: \_\_\_\_\_ DATE: \_\_\_\_\_

1. **INCOME ELIGIBILITY**

<u>% of Income</u>	<u>Points</u>	Gross Income, Past 30 Days \$\$ _____
0-25%	5 points	
26-50%	4 points	
51%-75%	3 points	
76%-100%	2 point	

Income Points: \_\_\_\_\_ (a)

**ENERGY BURDEN**

To calculate:

- Use one month's bill for both electric and gas
- If client does not have electric bill, call utility company for actual cost (document collateral contact)
- If client pays a gas bill, call gas company for actual cost (document collateral contact)
- Enter \$200 for deliverable fuels when client must purchase deliverables in bulk but has no invoice or estimate
- Enter \$200 for utilities included in the rent unless another amount is documented
- If home is total electric, use only one month's electric bill. If electric bill provided includes more than one month of service, use the higher of the months in determining burden.
- If income is less than energy bill total, energy burden will be a minimum of 100% (maximum Income Points should be given)

ELECTRIC \$ \_\_\_\_\_ + GAS \$ \_\_\_\_\_ + FEES \_\_\_\_\_ + DELIVERABLE FUEL COST \_\_\_\_\_ = \$ \_\_\_\_\_ Total Monthly Cost

Total Monthly Energy Cost \_\_\_\_\_ ÷ 30 Day Income \$ \_\_\_\_\_ = \_\_\_\_\_  
%Energy Burden

Monthly Utility Cost Divided by Monthly Gross Income = % of Energy Burden

5% and less	0 points
6%--10%	3 Points
11%--15%	4 Points

Deliverable fuel Points (include in Energy burden Points below:

16%--20%	5 Points
21%--++	6 Points

Note: Add 2 points for deliverable fuels

Energy Burden Points: \_\_\_\_\_ (b)

2. **ENERGY NEED**

Elderly	1 point
Disabled	1 point
Working Poor	1 point
Child age 6 or younger	1 point
(Only one point per category allowed)	

Elderly Points: \_\_\_\_\_ (c)  
Disability Points: \_\_\_\_\_ (d)  
Working Poor Points: \_\_\_\_\_ (e)  
Child Points: \_\_\_\_\_ (f)

3. **PAYMENT MATRIX**

- Benefit level must be within the point ranges
- Minimum payment level for the point range **must be made**
- Maximum payment level for the point range **cannot be exceeded**

4. **RECERTIFICATION PROGRAMS**

- Senior Recertification Program 15 points  
a) maximum Income Points should be given

Senior Recert \_\_\_\_\_ (g)

Total Points  
1-2

Payment Ranges  
\$ 75-160

Total All Points: \_\_\_\_\_

3-6	\$ 161-320	(a+b+c+d+e+f)
7-11	\$ 321-480	
12-14	\$ 481-640	
15 and up	\$ 641-800	Allowable Payment: _____

**ATTACHMENT 2b – ELIGIBILITY WORKSHEET – ALTERNATE \$640 LIMIT**

**LIHEAP ELIGIBILITY WORKSHEET**  
Effective March 1, 2018

APPLICANT NAME: \_\_\_\_\_ DATE: \_\_\_\_\_

**1. INCOME ELIGIBILITY**

<u>% of Income</u>	<u>Points</u>	Gross Income, Past 30 Days \$ _____
0-25%	5 points	
26-50%	4 points	
51%-75%	3 points	
76%-100%	2 point	

Income Points: \_\_\_\_\_ (a)

**ENERGY BURDEN**

**To calculate:**

- a) Use one month's bill for both electric and gas
- b) If client does not have electric bill, call utility company for actual cost (document collateral contact)
- c) If client pays a gas bill, call gas company for actual cost (document collateral contact)
- d) Enter \$200 for deliverable fuels when client must purchase deliverables in bulk but has no invoice or estimate
- e) Enter \$200 for utilities included in the rent unless another amount is documented
- f) If home is total electric, use only one month's electric bill. If electric bill provided includes more than one month of service use the higher of the months in determining burden.
- g) If income is less than energy bill total, energy burden will be a minimum of 100% (maximum Income Points should be given)

ELECTRIC \$ \_\_\_\_\_ + GAS \$ \_\_\_\_\_ + FEES \_\_\_\_\_ + DELIVERABLE FUEL COST \_\_\_\_\_ = \$ \_\_\_\_\_ Total Monthly Cost

Total Monthly Energy Cost \_\_\_\_\_ ÷ 30 Day Income \$ \_\_\_\_\_ = \_\_\_\_\_  
%Energy Burden

**Monthly Utility Cost Divided by Monthly Gross Income = % of Energy Burden**

5% and less	0 points	
6%--10%	3 Points	
11%--15%	4 Points	Deliverable fuel Points (include in Energy burden Points below: _____)
16%--20%	5 Points	
21%--++	6 Points	

**Note: Add 2 points for deliverable fuels** Energy Burden Points: \_\_\_\_\_ (b)

**2. ENERGY NEED**

Elderly	1 point	Elderly Points: _____ (c)
Disabled	1 point	Disability Points: _____ (d)
Working Poor	1 point	Working Poor Points: _____ (e)
Child age 6 or younger	1 point	Child Points: _____ (f)
(Only one point per category allowed)		

**3. PAYMENT MATRIX**

- d) Benefit level must be within the point ranges
- e) Minimum payment level for the point range **must be made**
- f) Maximum payment level for the point range **cannot be exceeded**

**4. RECERTIFICATION PROGRAMS**

Senior Recertification Program 15 points Senior Recert \_\_\_\_\_ (g)  
g) maximum Income Points should be given

**Total Points**

1-2  
3-6  
7-11  
12 and up

**Payment Ranges**

\$ 75-160  
\$ 161-320  
\$ 321-480  
\$ 481-640

Total All Points: \_\_\_\_\_  
(a+b+c+d+e+f)

Allowable Payment: \_\_\_\_\_

**ATTACHMENT 3 ELIGIBILITY DETERMINATION AND COMPLETING THE LIHEAP WORKSHEET**

LIHEAP benefits are targeted to assist low-income households, particularly those with the lowest income, that pay a high proportion of their income for home energy. There are three (3) areas that are used to complete the LIHEAP Worksheet (**ATTACHMENT 2**) and determining LIHEAP benefits:

**Income of All Household Members**

Income of all household members may not exceed 60 percent of the State Medium Income (SMI), **or 150 percent of the Federal Poverty Guideline (FPG), whichever is greater for a given household. Larger households may qualify for LIHEAP at 150 percent of the FPG if the FPG/150 threshold is greater than 60 percent of the SMI. See the Income Thresholds Chart for the current fiscal year to determine which households may qualify at 150 percent the FPG.** After determining the monthly gross income for the household, use the chart provided in Attachment 5 to determine Income Points for the LIHEAP Eligibility Worksheet.

**Energy Burden**

Energy Burden is determined by dividing the household's utility costs by the 30 days income.

5%	Or	Less	0 Points
6%	-	10%	3 Points
11%	-	15%	4 Points
16%	-	20%	5 Points
21%	Or	Higher	6 Points

- if the household utilizes electric and gas utilities, both bills will be used to determine the energy burden. If the applicant does not have both bills at the time of application, if client pays a gas bill, call gas company for actual cost (document collateral contact)
- **contact the vendor for gas or propane (only if the client uses either);** for electricity, a current one-month billing amount can be obtained by calling the utility company, and for wood burning stoves a maximum of **\$200** can be considered to calculate the household's energy burden.
- If utilities are included in the rent and the landlord refuses to specify the utility portion, a maximum of **\$300** can be considered to calculate the household's energy burden.
- If the applicant has electric and gas bills, use a one-month billing amount from each of the bills. Only a one (1) month billing cycle for a utility bill is to be

considered in determining the energy burden. It can be the past due amount or the current month's bill. The amount that would be the most beneficial to the client should be used to calculate the energy burden.

- If the client has receipts for the purchase of propane for one month’s use, the caseworker must use that amount. If the amount covers a 6 (six) month usage, then divide the amount by 6 (six) to determine a month usage amount.
- If the household is requesting a deposit for utilities, use the required deposit amount(s) including disconnect, re-connect and late fees to determine the energy burden. If a deposit is needed for both gas and electric, use both amounts to determine the energy burden.

If the applicant has no bills for gas or propane or the Case Worker cannot make contact with a utility vendor than the Case Worker can note the application as such and this will suffice as the client statement verifying usage of either gas or propane (can only be used for this purpose) once the application is signed by the applicant and the Case Worker.

Because the purchase of deliverable fuels increases immediate energy burden, 2 energy burden points may be added to facilitate delivery of deliverable fuels.

### Energy Need

- Priority points will be given to households that include a member of a vulnerable population. This includes:

<b><i>Elderly</i></b>	<b><i>1 Point</i></b>
<b><i>Working Poor</i></b>	<b><i>1 Point</i></b>
<b><i>Disabled</i></b>	<b><i>1 Point</i></b>
<b><i>Child age 6 and Under</i></b>	<b><i>1 Point</i></b>

- **“Elderly”** is defined as any individual age 60 and over.
- ***“Working poor” is defined as any eligible household with at least one member who received or is due earnings from any type of employment or receiving unemployment benefits, within 30 days prior to the date of application.***
- A **“disabled” individual** is defined as any person in the household with a permanent or temporary disability. The disabled status on the application must be marked “Yes”.
- A maximum of 1 point can be given in each category. 1 point for elderly, 1 point for working poor, 1 point for a disabled household member and 1 point for a child age 6 or under living in the household. The household will receive 1 point for a child age 6 or under regardless of the number of children in the household.

**TO DETERMINE BENEFIT PAYMENT LEVELS, THE FOLLOWING GUIDELINES WILL BE FOLLOWED:**

Total Points	Payment Levels
1 – 2	\$75 – \$160
3 – 6	\$161 – \$320
7 – 11	\$321 – \$480
12 and up	\$481 – \$640
15 and up	\$641--\$800

- Calculation of points should be rounded to the nearest whole number using standard rounding rules: .5 and over-round up and .4 and below-round down.
- Benefit levels must be within the point ranges.
- Minimum payment level for the point range **must be made**.  
Maximum payment level for the point range **cannot be exceeded**.

**ATTACHMENT 5 – Medical Deductions List****Excluded Medical Deductions List**

Items listed below are excluded from the medical expense deduction policy. These items listed below are a sample of items that are to be excluded, however this list does not include all items that may be excluded, additionally the list will be updated periodically:

- **Air conditioner**
- **Cosmetic surgery**
- **Diet Programs**
- **Exercise program**
- **Extra rent or utilities**
- **Insurance premiums for medical care coverage**
- **Lead-based paint removal**
- **Legal fees paid to authorize treatment for mental illness**
- **Long-term care insurance and long-term care expenses (there are limitations to what you can deduct)**
- **Medical conference admission costs and travel expenses for a chronically ill person or a parent of a chronically ill child to learn about new medical treatments.**
- **Telephone**
- **Television (the cost of equipment used to display the audio part of a TV program for hearing-impaired persons)**

## ATTACHMENT 6 – FAQ AND SCENARIOS

**Frequent Questions – Eligibility Scenarios****Boarders and Roommates:**

**Issue # 1:** Mother and adult daughter reside in the mother's home. The mother owns the home and the daughter pays rent to the mother. Does the daughter need to be paying the mortgage company directly or can she be paying her mother the rent?

**DES Guideline:** No. The client must provide documentation of rental history, such as cancelled checks.

**LIHEAP Supplemental Eligibility:**

**Issue # 2:** What is the maximum amount of credit that a client can have on their pre-pay account in order for them to qualify for supplemental assistance (considered a crisis)? AND what is the definition for a crisis when dealing with an applicant who has pre-pay for electricity and a low balance?

**DES Guideline:** The service provider should contact the utility company and request a 30-day usage by the household up to the date of the application. Take that amount and divide it by 30 days. This will provide the daily energy usage for the household. For example, if the energy usage for 30 days is 300 kWh, take  $300\text{kWh}/30\text{ days}=10\text{kWh}$  per day. If the household has **7 days or less available**, it may be considered a crisis.

**Issue # 3:** The applicant received LIHEAP assistance previously in the year and is requesting help with a deposit to move into an apartment. If the applicant moves in and two weeks later gets a disconnect notice for nonpayment of the deposit, can Supplemental LIHEAP assistance be used?

**DES Guideline:** The Supplemental may not be used for the move-in, however it may be used after the move-in.

**Issue #4:** Why is a homeless applicant who cannot move into an apartment because they do not have the deposit money or money to pay off an old account not considered a crisis situation?

**DES Guideline:** The homeless applicant's situation may be considered a crisis situation if they are moving into an apartment or home.

**What Service Provider to Assist Household?**

**Issue # 5:** The client is moving from Tempe to Mesa, who should assist the client with the move- in-assistance?

**DES Guideline:** Mesa would assist the client. Typically, the receiving Service Provider assists the client, however; Service Provider's should determine which agency would best assist the client.

**Birth Certificates:**

**Issue # 6:** Are the only accepted birth certificates to come from the Bureau of Vital Statistics for Proposition 200?

**DES Guideline:** Only documents listed can be used. No exceptions.

**Issue # 7:** Are copies of birth certificates acceptable?

**DES Guideline:** The document must be an original Certified Copy of a birth certificate, that is, a copy issued and certified, by a US state or local governmental bureau of vital statistics. Photo copies are not acceptable. Contact DES for exceptions.

**Tribal Assistance:**

**Issue # 8:** Do members of a Native American Tribe need to go through their council before they can obtain prior assistance from the tribe?

**DES Guideline:** Service Providers are not required to serve Tribal Members in which the Tribe receives their own LIHEAP funds. It is recommended that the service provider have a written policy, approved by their board members to serve Tribal Members that live on the reservation.

**Subsidized Housing:**

**Issue # 9:** The applicant resides in subsidized housing. One utility is included in the rent, but another utility is not. For example, SRP is paid to the landlord with the rent, but, Southwest Gas (SWG) is paid directly to SWG. Can LIHEAP be used to pay utilities for a subsidized household where utilities are included in rent ?

**DES Guideline:** Yes.

**Other Agency Providing Utility Assistance:**

**Issue #10:** The applicant receives a rent or utility benefit from another agency (i.e., Salvation Army), is this assistance considered income?

**DES Guideline:** No.

**Garnishments, Social Security and Other Income:**

**Issue #11:** If an applicant's social security check is partially or entirely garnished for any reason, is the gross income counted?

**DES Guideline:** The Medicare deduction is not counted in the gross income for LIHEAP. All other garnishments are counted in the gross amount.

**Issue #12:** If an applicant's or other household member's income has child support withheld, is the gross income still counted?

**DES Guideline:** Yes. The withheld child support is no different than a parent supporting a child within the home with employment income.

**Issue # 13:** An applicant receives pay on a bi-weekly basis, most 30-day income periods will only include 2 paychecks, however sometimes there will be a third paycheck within the 30 day period. Are all three checks counted?

**DES Guideline:** Yes.

**Issue # 14:** Medical Expense Deduction is counted after income eligibility has been established for the household. No more than ten percent of the total household gross income will be the allowance established for medical expense deductions

**DES Guideline:** Jane's gross 30-day income is \$1,000. She had an unexpected medical expense, purchasing a leg brace for \$200. Caseworker applies the medical expense policy to Jane's income and deducts ten percent from her \$1,000 gross income, i.e. \$100.

Debora's gross 30-day income is \$760. She had a doctor's office co-pay for \$40. The Caseworker applies the medical expense deduction and subtracts \$40 from Debora's gross 30-day income, reducing it to \$720.

Anabel's gross 30-day income is \$3,265. She lives with her two children. Anabel's son broke his arm, and she has an out of pocket medical expense of \$300 for x-rays. If the medical expense deduction were applied to her income, \$300 would be deducted from her overall 30-day income. However, Anabel is over income for a LIHEAP benefit so the medical expense deduction cannot be applied.

**Issue # 15:** If an applicant receives an extra check that was paid for back pay (a check that should have been received before), is it counted within the 30-day period?

**DES Guideline:** Yes.

**Issue # 16:** The applicant resides in a home that is paid for by an individual outside of the household. Payment is made directly to the landlord or Mortgage Company and doesn't pass through the household at all. Is this counted as income for the applicant's household? What if another agency, such as Salvation Army were paying the rent?

**DES Guideline:** No to both questions.

**Issue # 17:** Is income ever excluded due to being lost or stolen?

**DES Guideline:** Yes, with verification from a police report, bank records or other verifiable documentation substantiating the lost or stolen income.

**Issue # 18:** It is not uncommon for an applicant to be overpaid when receiving a social security or child support check. The future checks decrease to pay back the over payment. For example, the applicant receives \$1,200 for one month's income and then is notified they should have only received \$1,000 per month. Social Security will begin withholding \$100 per month until the overpayment is adjusted (for 2 months). The applicant then receives checks for \$900 per month for two months. One of these months is used to calculate the gross income. Is the \$1,000 or \$900 counted for gross income?

**DES Guideline:** The gross amount to be counted would be the amount actually received by the client for the 30-day timeframe; therefore, \$900 would be used to calculate the gross income.

### **Dual Utility Company Usage:**

**Issue # 19:** The applicant makes payment to the landlord for their utility bill, but it is separate from the rent, for example; the lease states that \$400.00 is the rent payment plus the electric charges of \$100.00. Is this situation considered utilities included in the rent?

**DES Guideline:** Yes.

### **Undocumented Applicant:**

**Issue # 20:** If the applicant is an undocumented parent can a legal resident minor who is not the head of household be considered head of household?

**DES Guideline:** An undocumented adult may apply for assistance on behalf of documented children. The applicant would be considered an ineligible household member and would not be considered in the household unit. The eligible children should not be denied assistance due to the ineligibility of an adult household member.

### **Minors as Head of Household:**

**Issue # 21:** Can a minor ever be considered as head of household and apply for LIHEAP assistance on their own?

**DES Guideline:** Yes, if the minor is in fact head of household with supporting documentation such as rental agreement, and/or other appropriate documentation. The Service Provider should use reasonable documentation and make prudent judgment and document the reasoning in the case file.

### **Abandoned/Unclaimed Funds:**

**Issue # 22:** What are utility companies required to do with abandoned/unclaimed funds after two years?

**DES Guideline:** The utility company is to return the funding to Arizona Community Action Association per A.R.S. 46-731. Funds older than two years must be returned to the Federal Government.

**General Questions:**

**Issue # 23:** The applicant pays their rent on a weekly basis. Is it permissible to provide utility assistance in this situation?

**DES Guideline:** Yes, as long as the applicant meets Arizona state residency requirements. A written lease showing that the applicant is renting the home for thirty days or more would be sufficient.

**Issue # 24:** The applicant states that they had LIHEAP assistance at another agency, but the current Service Provider is unable to verify the prior LIHEAP payment. Should assistance be offered using LIHEAP and/or a Supplemental assistance?

**DES Guideline:** Current policy requires Service Providers to check for prior assistance in their service areas within the last twelve months. If the applicant indicates they received prior LIHEAP assistance, obtain information on the previous address and when assistance was last received. Research the information. If the Service Provider is not able to obtain the specific information on the prior assistance, LIHEAP and/or Supplemental assistance may be considered.

**Issue # 25:** After receiving assistance a client returns in two weeks and divulges information that would have made them ineligible for assistance two weeks earlier. Is the Service Provider expected to attempt to reverse the services or do applications stand on the information available at the time it was initially taken?

**DES Guideline:** The Service Provider should attempt to take corrective action by either reversing the benefit through the energy vendor or having the client pay the money back. If fraud is suspected it should be documented and reported.

**Issue # 26:** In cases where there is suspicion that a landlord may not truly be a landlord, how far does the Service Provider have to go to verify?

**DES Guideline:** The Service Provider is expected to exert due diligence and prudent person concept while balancing the needs of the client.



DEPARTMENT OF ECONOMIC SECURITY  
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## Division of Aging and Adult Services

# SHORT TERM CRISIS SERVICES



## Policy and Procedure Manual SFY 2021

Equal Opportunity Employer / Program • Auxiliary aids and services are available upon request to individuals with disabilities • To request this document in alternative format or for further information about this policy, contact the Division of Aging and Adult Services at 602-542-4446; TTY/TDD Services 7-1-1.

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## 100 **PROGRAM OVERVIEW**

The Short-Term Crisis Services (STCS) program is a state program (A.R.S. 46-241) that provides temporary assistance to persons who have an emergent need that cannot be met immediately by their own income or resources. Services available through the STCS program include:

- emergency shelter
- eviction/foreclosure prevention
- move-in assistance
- utility assistance
- special needs related to obtaining or maintaining employment.

DES/DAAS provides grants to local Community Action Agencies, counties, tribal governments, and private not for profit Service Providers to deliver the program in defined geographic areas. These entities will be referred to as Service Providers in this manual. Applications for assistance are taken by the Service Providers, who are responsible for obtaining documentation to determine eligibility, authorizing payments, and assisting the client in securing services that will alleviate the crisis. DES/DAAS has statewide administrative authority over STCS including:

- Selecting and contracting with local Service Providers
- Program and policy development
- Training and support
- Disbursing financial resources
- Monitoring for compliance
- Data collection
- Reporting

### 100.01 **Purpose of STCS**

The purpose of the Short-Term Crisis Service (STCS) program is to alleviate the crisis that prevents a household from meeting its basic needs.

### 100.02 **Prudent Decision Making Principles**

The policies and procedures included in the ***STCS Policy Manual*** are rules for determining eligibility, delivering benefits and administering the program. It is impossible to foresee and give examples for all situations; therefore, Service Providers are encouraged to use reason and apply good judgment in making decisions when addressing the specific needs and requests of a household or an unusual situation. Decision-making by staff based on the best information available, program knowledge, experience and expertise in a particular situation is referred to as the Prudent Decision-Making Principle. Prudence may also include seeking DES guidance on specific policy interpretation. Service Providers should document the rationale used to make a decision and cite any applicable ***STCS Policy Manual*** references and policy interpretations.

### **100.03 Changes in Policy or Procedures**

- A. Each Service Provider will be responsible for ensuring STCS Policy and Procedure Manual is issued to individual staff members and is maintained and updated.
- B. New and/or replacement pages for the STCS Policy and Procedure Manual will be issued in the form of numbered Policy Clarification Notices by DES/DAAS. The Policy Clarifications will contain instructions for updating the manual as well as a summary of the changes and the effective dates.
- C. Subsequent Alerts related to policy changes or clarifications will be added to the policy and procedure manual by Service Providers to ensure that staff has the most up to date information.

### **100.04 Policy Questions and Clarifications**

All Service Provider's staff requesting clarification regarding procedural detail or policy interpretation will be elevated in the following order to:

- A. The Service Provider's internal process.
- B. The individuals designated at DES/DAAS are listed below and all requests must be submitted in writing via Email to:

**EMAIL TO:** [smorgan@azdes.gov](mailto:smorgan@azdes.gov)

**ATTN: STCS Policy Questions and Clarifications  
DES/DAAS – Community Action Programs and Services  
FAX: 602-542-6655**

- C. DES/DAAS will respond within two business days unless additional research is required.

## **200 APPLICATION PROCESS AND PROCEDURE**

This section covers what must be included in the application.

Contracted Service Providers must ensure that the following information is documented for the applicant:

**I. The Service Provider application should contain the following required elements but is not limited to this list:**

- a. Name, address, and if available, ten-digit telephone number
- b. Personal information, including:
  - i. Social security number
  - ii. Gender
  - iii. Date of birth
  - iv. Citizenship status
  - v. Disability
  - vi. Health Insurance declaration
  - vii. Gross monthly countable income
  - viii. Description of crisis and crisis reason
  - ix. Employment income for all household members ages 18 and older (16 if not a full-time student) for 30 days prior to and including the date of application
  - x. Verification such as identification/documentation for children or other family members who reside in the home for all household members at the time of the application

**200.01 Home Visit Definition:**

An individual does not have to be bedridden to be considered confined to their home. However, the condition of these individuals should be such that there exists a normal inability to leave home and consequently, leaving the home would require a considerable and taxing effort. Any absence of the individual from the home attributable to the need to receive health care treatment, including regular absences for the purpose of participating in therapeutic, psychosocial or medical treatment in an adult day-care program that is licensed or certified by the State should not disqualify an individual from being considered confined to their home. Any other absence of an individual from the home shall not so disqualify an individual if the absence is infrequent or of relatively short duration. For the purpose of the preceding sentence, any absence for the purpose of attending a religious service shall be deemed to be an absence of infrequent or short duration.

**200.02 Database Application Process and Procedures**

**200.02 (I) Completing the Database Process**

Service Providers must ensure that the database form contains the following required elements:

- A. Applicant name, address, and if available, ten-digit telephone number.
- B. All household members' names.

- C. Personal information, including
  1. Social security number for the applicant and any household members who are eligible for a STCS benefit (a pseudo social security number may be assigned)
  2. Gender
  3. Date of birth
  4. Citizenship status
  5. Disability
  6. Health Insurance declaration (“Yes” or “No” response is sufficient)
- D. Gross monthly countable income
- E. Crisis and crisis reason
- F. Employment income for all household members ages 18 and older (16 if not a full-time student) for 30 days prior to and including the date of application

### **200.03 Right to Request Financial Assistance**

- A. All persons have the right to request financial assistance by following the procedures established by the local agency providing the services for the area in which they live.
- B. Interviewers are not to complete applications for their own relatives to the first cousin level(third degree). This includes step-and in-law relatives as well. Specifically, parents, siblings, spouses, aunts or uncles, they should be interviewed by another interviewer or the program manager. **All applications made by employees of the Service Provider must be approved in writing by the Service Provider director** or in the case of a subcontractor, the director of the subcontracted Service Provider.
- C. **Future Income** - a Service Provider cannot deny emergency financial assistance through the STCS Program due to the household’s lack of resources to meet future needs.

## **300 STANDARD HOUSEHOLD UNIT**

A Standard Household Unit consists of every household member who must be included in the eligibility determination for assistance. If the applicant or a household member is pregnant in the third trimester, the fetus is considered an eligible child and shall be listed as an individual in the household.

### **300.01 Boarders**

Boarders are one or more persons living in the same house **paying rent to the owner of the home who also lives in the house** or one who lives and pays rent

in a commercial boarding house. Income of the owner of the home or other boarders is not counted.

Household members related by blood or law to the owner of the home are not considered boarders, unless the applicant can supply documents that support a rental history.

- A. Susan and Jane live in the house that Susan owns. There is no blood or law relationship. Susan is renting a room to Jane and her two children. Jane and her two children are the boarders. Jane applies for STCS assistance. Susan will not be included as a household member on the application and her income is not included.
- B. Jill and her minor child are boarders at a halfway house. Jill is not eligible because a halfway house is not considered permanent housing. Exception: If Jill and her minor child are moving from a halfway house to permanent housing, they are eligible for move-in assistance.
- C. Jane and her new baby live with her Aunt Betty. Jane was paying Aunt Betty rent, however; Jane no longer receives child support and cannot pay her Aunt any rent money for the month of June. Because they are related, Jane is considered a roommate **not** a boarder. All family members are included on the application and Betty's income is included.

**Note:** An agency may contact DES to request approval for exceptions.

Example: If Aunt Betty provides receipts documenting Jane's rental payment history or a contractual agreement indicating Jane's legal obligation to pay a specified rent amount, then Jane could be considered a boarder.

### **300.02 Roommate Definitions:**

Roommates are one or more persons living in the same house paying rent to the landlord outside of the home. This should not be confused with boarders as all income for roommates is counted.

- A. Linda and Donna are roommates. Donna pays rent to Linda, who has a rental agreement with a landlord living outside the home. They will be considered roommates, and both Linda and Donna will be included on the application.
- B. Martin and Mary own and reside in their own home. Nephew, Sam and his family live with them. They will be considered roommates due to the blood relationship between Mary and Sam. All household members will be included on the application.

### **300.03 Unborn Child within the Third Trimester:**

If the applicant, or a household member is pregnant in the third trimester, the fetus is considered an eligible child listed as an individual in the household. The unborn child should be documented as “baby” for the first name and use the last name of the client.

### **300.04 Native Americans**

Registered Native Americans RESIDING ON their own reservation are not eligible for STCS financial assistance as the reservations receive separate funding to provide for tribal members. Native Americans RESIDING OFF their reservation may be determined eligible for STCS financial assistance through their local CAP Service Provider.

## **400 NON-FINANCIAL ELIGIBILITY**

### **400.01 Verification and Documentation**

#### **400.01 (I) Verification**

Verification is the use of documents, systems, information, or contacts with third parties to establish the accuracy of information provided by the applicant during the interview and indicated on the application form.

- A. The applicant has the primary responsibility for providing all required verification.
- B. In situations where it is difficult for the applicant to obtain verification needed to complete the eligibility determination, the Service Provider will offer assistance in obtaining the verification.
- C. Service Provider staff shall verify the U.S. Citizenship or Qualified Immigrant status of at least one (1) qualifying child in the household. Copies of the documentation used for verification must be placed in the case file.

- Documentation which may be used to verify Identity, U.S. Citizenship and Non-Citizen Legal Status are described in the attached policy labeled **EXHIBIT I, Instructions for Verifying, U.S. citizenship and Non-Citizen Qualified Immigrant Status**

#### **400.02 (II) Documentation**

The case file must contain an explanation of the method by which eligibility criteria was verified, (hard copy, collateral contact, visual verification or client statement). Documentation must support eligibility,

ineligibility and the services to be provided and must be in sufficient detail to permit a reviewer to analyze the accuracy of the eligibility determination.

1. Documentation can be recorded with a hard copy (HC), collateral contact (CC), visual verification (VV) or client statement (CS). Visual verification may only be used when providing a home visit.
2. Documentation is written by the caseworker to support or clarify any information on the STCS application.
3. A declaratory statement may be used as a last resort but **not** for verifying Citizenship or Legal Resident Status. A client statement may be taken to verify other information but only after all other resources have been exhausted. To be considered valid this statement must include:
  - A. Date the statement was made
  - B. All information required must be included in the statement for verification and documentation
  - C. Client's signature

**A declaratory statement and collateral contact CANNOT be used to verify citizenship or legal resident status.**

## **500 MANDATORY VERIFICATION**

### **500.01 Identity**

The identity of the Applicant; any document that establishes the applicant's identity will be accepted. Documents include, but are not limited to:

- Driver's license
- Work or school ID
- ID card from health benefits or another assistance or social service program
- Voter registration card
- Wage stubs
- Birth certificate
- Citizenship and/or immigration documents
- Family census card
- Other reasonable sources

### **500.02 Citizenship**

U.S. Citizenship is established at birth when an individual is born in the U.S., its territories, or possessions. U.S. territories or possessions include any of the following. **EXHIBIT I- INSTRUCTIONS FOR VERIFYING, U.S. CITIZENSHIP AND NON-CITIZEN QUALIFIED IMMIGRANT STATUS.**

1. American Samoa
2. Guam

3. Northern Mariana Islands based on their date of birth
4. Panama Canal Zone based on their date of birth
5. Puerto Rico based on their date of birth
6. Swain Islands
7. U.S. Virgin Islands based on their date of birth

### **500.03 Qualified Immigrant Status**

To be a qualified non-citizen with Legal Status at least one child in the household must meet one of the categories listed below and provide unexpired documentation. Each category is described on the attached policy labeled **EXHIBIT 1- INSTRUCTIONS FOR VERIFYING, U.S. CITIZENSHIP AND NON-CITIZEN QUALIFIED IMMIGRANT STATUS**

1. Lawful Permanent Resident (LPR)
2. Asylee
3. Refugee or American-Asian
4. Victim of Severe Trafficking
5. Non-citizen Paroled into the U.S.
6. Non-citizen whose deportation is withheld
7. Cuban or Haitian Entrant
8. Conditional Entrant
9. Abused or Battered non-citizen
10. Indefinite detainee
11. Continuously residing
12. Disabled non-citizen
13. Military connection

**EXHIBIT 1- INSTRUCTIONS FOR VERIFYING, U.S. CITIZENSHIP AND NON-CITIZEN QUALIFIED IMMIGRANT STATUS** applies to both Citizenship and Non-Citizen with Qualified Immigrant status:

1. An eligible applicant must execute a sworn affidavit (**ATTACHMENT 1**) stating that the documentation provided as listed in Exhibit I, Instructions for Verifying Citizenship and Non-Citizen Qualified Immigrant Status during the verification process is true.

**NOTE:** Caseworker should fill out the affidavit and include only the document used to verify citizenship status and have the client sign the affidavit once the form is completed by the caseworker.

2. Contractors who determine eligibility for these programs will be required to ensure that a sworn affidavit is obtained in a way that does not delay the eligibility determination process or add cost to the process for the applicant.
3. Eligible applicants are exempt from providing an affidavit only if they are **60 years of age or older**, if they are **Tribal Members**, or if they are **disabled**

or have an incapacity of the body or mind which makes them unable to supply such affirmation.

**Note:** A STCS benefit payment shall not be pro-rated based upon existence of undocumented immigrants in the household.

#### **500.04 Residency and Residential Address**

Applicant must be a resident of Arizona. Services cannot be authorized or delivered 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. Client may provide, lease agreement, utility bills (in client's name), etc.

**500.05** Age or student status for any household member 16 and above for income

**500.06** Gross Non-Exempt Income of all household members

**500.07** Termination of employment for any household member

**500.08** Social Security Number

### **600 CRISIS AND CRISIS REASON**

To be eligible for STCS assistance, the household must be experiencing or expects to experience homelessness (for housing assistance) or interruption of heating/cooling (for utility assistance) within 30 days, as documented by any of the following:

- an eviction notice or foreclosure notice
- shut off notice or delinquency notice unless State or other entities declare a moratorium (see note)

The crisis must have been caused by one of the following emergency conditions:

- Domestic violence;
- Loss of income;
- Unforeseen circumstances that increase the household's expenditures, making it impossible to meet budgeted expenditures without short-term crisis services; or
- A condition that endangers the health or safety of a household member;
- Other similar emergency situations.

The emergent need, or crisis, must have been caused by any combination of reasons as defined in this section. There is no time limit for which a crisis reason must occur.

For example, a client who is facing eviction today may have experienced a loss of income due to a job lay-off four months ago. **It is the caseworker's responsibility to determine the legitimacy of the crisis reason and its relationship to the client's current need for emergency services.** The crisis reason must be supported with the necessary documentation and verification.

**Moratorium Notes:** Please note that during a moratorium on utility shutoffs or rent collection, Community Action Agencies should encourage households to continue to apply for STCS benefits, as these households may be compounding fees and charges that will be detrimental to their fiscal stability once the moratorium is lifted. If the household is in arrears for more than 5 days, agencies may apply STCS benefit to meet a household's obligation. Agencies may apply the STCS payment while the moratorium is in effect, even if no shutoff, delinquency notice or eviction notice has been sent to the client.

Eligible crisis reasons are as follows:

**600.01 A separation of the family that resulted from domestic violence.**  
(Cannot return home to access resources of partner)

This crisis reason can be used when a person is a victim of domestic violence and is no longer living with the abuser. If the person is living with the abuser, she/he must be referred to the closest domestic violence shelter facility.

**600.02 Loss of Income**

Includes but is not limited to:

Abandonment by primary wage earner. (There is no time frame associated with abandonment. The Service Provider shall make the determination of abandonment)

Death of a wage earner within the home

- Divorce
- Incarceration
- Incapacitated
- Reduction of workforce
- Loss of employment due to lay off
- Loss of employment due to involuntary termination (**regardless of reason**)
- Loss of employment (see section 601, Voluntary Quit/Reduction)
- Theft of income documented by a police report
- Serious illness/injury documented by a physician's statement (a serious illness which has caused the household to lose income)

**600.03 Unforeseen circumstances that increased expenditures making it difficult to meet the following month's budgeted expenditures.**

- Medical bills
- Car repairs
- Natural/manmade disaster
- Death in immediate family (natural, adoptive, or step: mother, father, brother, sister, or grandparent.)
- Expenses associated with parental responsibility (i.e.: legal obligations, legal or physical custody of biological and non-biological children)

#### **600.04 A condition that endangers the health or safety of the household.**

The Fire Department, Police Department, Department of Health, Medical Practitioner, Pest Control, etc. may verify conditions. The caseworker may verify by visual verification for a child age 2 and under, and elderly or disabled individuals in the household. Health and Safety conditions include but are not limited to:

- Lead poisoning
- Condemned property
- Identification of asbestos in home
- Infestation by rodents/vermin
- Medical condition with physician's statement (or documentation that the client receives SSI or SSDI)

#### **600.05 Special needs necessary to secure or maintain employment.**

Special needs include the following:

- Eyeglasses
- Car repair
- Dental
- Uniforms or workwear
- Tools
- License fees related to job

**Note:** Call DES-DAAS STCS Program Specialist for approval on any additional special needs not listed.

### **700 ELIGIBILITY CATEGORIES FOR STCS FUNDING**

**STCS is targeted specifically to households with children under the age of 18. There must be one or more children in the household who meet US citizenship or non-citizenship Qualified Immigrant status in order to provide the applicant with STCS.**

#### **A. Specified Relative**

To be eligible, a qualifying dependent child must be living with and in the care and physical custody of a specified relative OR legal guardian. Specified relatives are defined as follows:

1. Parents. A natural or adoptive mother or father.
2. Non-parent relatives to include:
  - a. A stepmother, stepfather, and any of the following relatives related either by blood or by adoption: brother, sister, uncle, aunt, first cousin, nephew, niece, grandmother, grandfather, persons of preceding generations as

denoted by prefixes grand, great, first cousins once-removed and great-great-great-grandparents.

- b. Spouses of any individual named above, even when death or divorce has terminated the marriage.

### 3. Legal Guardianship and Legal Custody

Legal Guardianship and Legal Custody may substitute for the specified relative requirement when the guardian has legal custody of the child but is unrelated by blood or marriage. Physical custody is not necessarily the same as legal guardianship. A foster child is not a qualifying dependent child as the State is the legal guardian.

4. The eligible child must be without income and resources to meet the identified crisis reason.

**Note:** Households who have received assistance from the TANF Cash Diversion option are not eligible for STCS benefits for a period of 120 days following receipt of diversion assistance.

#### **700.01 Time Limits**

STCS can be authorized only once in a twelve consecutive month period, which begins on the eligibility date determined by the Service Provider. Clients must meet both financial and non-financial eligibility criteria.

### **800 PAYMENT ALLOWANCES FOR STCS FINANCIAL SERVICES**

All payments must be made and reported to the actual dollars and cents.

#### A. TEMPORARY SHELTER: (i.e.: hotel/motel)

- Maximum amount allowed: \$300, not to exceed 7 consecutive days
- Maximum request for service: 1 time in 12 months
- General Rule:  
Temporary shelter should be used when permanent shelter is not available. The Service Provider must be attempting to locate permanent shelter.

#### B. HOUSING ASSISTANCE

- Maximum amount allowed: \$1500
- Maximum request for service: 1 time in 12 months
- General Rule:  
Housing assistance includes move-in assistance and eviction prevention for rental or mortgage.

#### C. UTILITY ASSISTANCE

- Maximum amount allowed: \$500
- Maximum request for service: 1 time in 12 months
- General Rule:

The Payment cannot exceed the amount of the bill and can be authorized for heating, cooling, water and sewer services. Maybe used to pay sanitation only if inclusive in the household's utility bill. Bill must be past due. A shut-off notice is not required. Payment can also include deposits.

#### D. SPECIAL NEEDS

- Maximum amount allowed: \$500
- Maximum request for service: 1 time in 12 months
- General Rule:  
Only with specific TANF funding, (See Budget code listing). Need to secure or maintain employment. Services not related to employment must be approved by DES.

**Note: A Service Provider shall not require an applicant to pay a portion of their rent, mortgage or utility obligation as a condition for receiving emergency financial assistance through the STCS program.**

### 900 FINANCIAL ELIGIBILITY

#### 900.01 Voluntary Quit/Reduction

Any household member age 18 or older (16 or older if not a full-time student) must not have voluntarily terminated their employment in the past 30 days, prior to and including the application date, unless good cause for termination is provided.

#### 900.02 Applicability

- A. The Voluntary Quit or Reduction in Work Effort disqualification applies to the entire household.
- B. The household is disqualified when a household member quits without good cause in the following situations:
  - 1. Quits a job and was employed 20 hours or more per week or received earnings equal to the minimum wage multiplied by 20 hours at the time of the job quit; AND
  - 2. The job quit occurred within 30 days prior to the date of application; OR
  - 3. Reduces their work effort within 30 days prior to the date of application. A reduction in work effort occurs when the household member was working 30 hours or more per week and, voluntarily without good cause, reduces his/her hours to less than 30 hours per week.

#### 900.03 Voluntary Quit/Reduction Good Cause Circumstances

The following examples can be considered "good cause" for Voluntary Quit/Reduction. This list is not meant to be all-inclusive. The staff of the Service

Provider must make a final determination on the validity of the Voluntary Quit/Reduction claim.

- A. Circumstances beyond the household member's control, such as illness of another household member requiring the presence of the member, unavailability of transportation, unanticipated emergency, unsuitability of work, or the lack of adequate child care for individuals responsible for the care of children under the age of 12.
- B. Inability to write or speak English.
- C. Lack of day care for an incapacitated child or adult living in the same household.
- D. Serious illness or incapacity of the household member.
- E. Work demands or conditions that render continued employment unreasonable, such as working without being paid on schedule.
- F. Resignation by a household member under 60 who is recognized by the employer as retired.
- G. Employment that is unsuitable. Employment will be considered unsuitable when the following conditions apply:
  - (1) The job is on a piece-rate basis, and the average hourly rate that the employee can reasonably be expected to earn is less than the minimum required wage.
  - (2) As a condition of employment, the employee is required to join, resign from, or refrain from joining any legitimate labor organization.
- H. The household member can demonstrate, or it can be determined that any of the following is true:
  - (1) The individual is physically or mentally incapable of performing the assigned tasks of the job. Documented medical evidence or reliable verification from other sources is required.
  - (2) The degree of risk to health and safety is unreasonable.
  - (3) Commuting time exceed two hours each way. This does not include time to transport a child to and from a childcare facility.
  - (4) Employment is not considered suitable when the distance prohibits walking, and neither public nor private transportation is available.
- I. Employer discrimination based on age, race, sex, handicap, religious beliefs, national origin, political beliefs, or sexual orientation.
- J. Leaving a job in connection with patterns of employment in which workers frequently move from one employer to another, i.e., migrant farm workers or construction work.
- K. Resigning from a job or reducing hours at the demand of the employer.

- L. Quitting a job to accept new employment of similar hours and salary. Through no fault of the participant, the new job either fails to materialize or results in a layoff.
- M. The individual was laid off but has a definite return date (**Not Voluntary**).
- N. Acceptance of employment would have resulted in the family's experiencing a net loss of income.
- O. Reduction of workforce. (**Not Voluntary**)

**Note:** The case file must be thoroughly documented regarding good cause circumstances.

#### **900.04 Income**

This section describes various kinds of income used to determine eligibility. These policies and procedures are applicable to all households who apply for services from the Short Term Crisis Services Program.

#### **900.05 Countable Income**

EARNED and/or UNEARNED income will be considered in determining eligibility for services. The gross amount of income prior to deductions will be counted unless otherwise specified.

- A. Income will be counted as received at the time it is made available to the household. A check is considered **received** when it is added to the deposited account, put in the hands of the client, or made available to the client.

**Example:** Friday is a regularly scheduled payday. Client requests paycheck that is available on Friday, March 29, 2015 be mailed due to illness. The check was received in April. The check will be counted as **received** on March 29th.

- B. Regular monthly income deposited directly into a financial institution (e.g. SSA, SSI, VA, etc.) will be considered countable income in **the month for which it was intended**. Count the income in the month it is intended, even when it was actually received in the prior month.

**Example:** The Social Security Administration (SSA) deposited April's social security check on March 31, 2015 because April 1<sup>st</sup> (normal day of deposit) was a Saturday. The **month for which it is intended** is April. Count the social security check received April 1st.

- C. **Non-Recurring lump sum payments are counted as both a resource and income.** When a portion of the lump sum is intended for the current month, only that portion is countable income. The balance would be counted as a resource. Sources of lump sum payments include but are not limited to: CA, GA, SSA, SSI, VA, and UI.

**Example:** Client receives a **non-recurring lump sum payment** from SSA in the amount of \$1,800 in June. Client was awarded \$600 per month. The \$1,800 is for the months of April, May, and June. Count \$600 as income for June. The remaining \$1,200 is counted as a resource because it is back payments for the prior months of April and May.

#### **900.06 Individuals Whose Income Must Be Counted**

Any income of a household member age 18 and older will be counted, including ineligible household members. Income for all persons ages 16 and 17, **who do not attend school full time**, will be counted.

#### **900.07 Individuals Whose Income Will Not Be Counted**

- A. Any and all earned and unearned income for persons ages 16 and 17 who attend school full time is not counted.
- B. When domestic violence occurs, the income and resources of the abuser are not counted as long as domestic violence is the crisis reason, and the abuser is no longer in the household. (see section 600.01)
- C. When domestic violence occurs, the income and resources of the applicant are not counted if the applicant does not have access to his/her income and resources, and the abuser is no longer in the household.

#### **900.08 Earned Income**

Earned income is defined as either cash or in-kind income received as compensation for wages, salaries, commissions or profit through employment or self-employment.

##### **900.08 (I) Types of Earned Income**

Earned income includes but is not limited to:

- A. ARIZONA TRAINING PROGRAM (ATP): Salaries to persons with disabilities working in a sheltered workshop situation are counted. Verbal or written verification may be obtained from ATP.
- B. BABY-SITTING OR CHILDCARE INCOME: Earnings from baby-sitting are counted as self-employment income. Verbal or written verification may be obtained from DES or the person paying for the care.
- C. CAN OR BOTTLE SALES OR OTHER USABLE DISREGARDS: Income from these sales is counted as self-employment income. Client should have receipts for such sales. If receipts are not

available, a signed and dated client statement would be acceptable.

- D. **CONTRACT INCOME:** Income received by individuals who are employed under a contract that states a specific length of time and a specific income amount to be paid during that time.
- E. **HOUSEKEEPER OR HOME HEALTH AIDES:** Income earned as a housekeeper or home health aide is countable. Verbal or written verification may be obtained from the employer. Income is only counted once, if living in the household and paid by the applicant.
- F. **IN-KIND EARNED INCOME:** Work performed by a client in exchange for room, board, or other needs is earned in-kind income. The employer will establish the monetary value of the service. A collateral contact or a signed and dated statement from the employer, or client can verify in-kind income. The employer may be, but is not limited to:
  - 1. A landlord who is providing rent or portions of the rent or utilities in exchange for work.
  - 2. A storeowner who gives goods, such as groceries, clothes or furniture in exchange for work.
  - 3. An individual who receives a car, tools, trailer, building material, gasoline, etc. in exchange for work.
- G. **JURY PAY:** Counted as earned income. Check stubs should be available to verify income.
- H. **MILITARY INCOME:** Wages received while in the military are countable. This includes base pay (BP), Proficiency pay (PRO), rations (separate/leave), basic allowance for housing (BAQ), basic allowances for subsistence (BAS) and variable housing allowance (VHA) when considered an entitlement. Use the leave and earnings statement, when available, to verify the amount of earned income issued.
- I. **RENTAL INCOME:** Any monies received from rental of property, including boarders, less expenses, are counted as earned income if work is involved.
  - 1. Work includes, but is not limited to, managing rental property requiring maintenance, collection of rent or accounting functions. There is no time requirement for number of hours worked.
  - 2. If a person's income from rental of property does not require work, rent is considered unearned income.

J. SELF-EMPLOYMENT INCOME AND EXPENSES: Self-employment includes but is not limited to, businesses such as grocers, craftsmen, taking in boarders, ranching, farming, swap meet sales, odd jobs, baby-sitting, can and bottle collection, janitorial, guide for hunting or fishing or any wholesale or retail sales.

Clients are not considered self-employed if they work for a business or another person on a commission basis, unless the client reports and pays his/her own withholding taxes for state, federal and FICA.

Acceptable verification for self-employment is:

1. IRS Form 1099
2. Ledger statement
3. Client statement

When calculating self-employment income, the client may deduct any business expenses. Gross incomes minus business expenses equals' countable income.

K. VOCATIONAL REHABILITATION (VR): Wages from VR sponsored on-the-job training (OJT) are countable.

L. WAGES: Gross earnings from employment, prior to any deductions, garnishments, allowances or adjustments. Special benefits or deductions connected with employment earnings are counted as follows:

1. Advances, bonuses and commissions must be counted as earned income in the month received.
2. When tips are shown on the paystub and the household claims a lesser amount but has no record of actual tips received, count the amount on the paystub.
3. When tips are not shown on the paystub, obtain the individuals' written tip record. When not available, obtain a written statement from the household or contact the employer.

M. WORKFORCE INVESTMENT ACT (WIA): Earnings from employment through WIA will be counted for persons age 18 and over.

N. WORK STUDY: Earnings received from the following: Work-study programs, when the funds do not come under Title IV of the

Higher Education Act; Veterans Administration work-study program.

#### **900.09 Verification of Earned Income**

Gross earned income must be verified prior to initial approval. All gross earned income received by the household members ages 18 years and older (16 unless a full-time student) is counted in determining the total income. Contract Service Provider staff is responsible for obtaining accurate gross amounts from the client or employer.

***Acceptable verification includes but is not limited to:***

1. Paycheck stubs(s)
2. Copy of check, when gross earnings are listed
3. Employer's statement that is signed and dated. (When employer verification would jeopardize the applicant's job, other means of verification must be pursued)
4. The employer's statement must include the following:
  - a) Name, address and telephone number of employer
  - b) Frequency of receipt
  - c) Gross amount of income
  - d) Day of the week pay is received
5. Letter from the agency providing government sponsored training
6. Assistance payment records
7. Award letter
8. Bank records
9. Court records
10. Division of Child Support Services printouts
11. Divorce or separation papers or contact the Clerk of the Court
12. The current check, when it reflects gross income. Federal government checks are not to be photo-copied; signed statement from agency or payer providing income
13. Client's statement, **WHEN NO OTHER VERIFICATION CAN BE OBTAINED.** All other possible verification sources must be exhausted

before accepting client statement. Document all attempts to verify and why the client's statement is being allowed

#### 14. Verification of Terminated Income

When job termination is reported in the prior 30 days to the date of the application, verify the following:

- The date of termination
- Gross income received in the prior 30 days
- The last payday and the gross amount paid

### **900.10 Unearned Income**

Unearned income is defined as income which was not received as a result of the performance of a service, or earned from sources other than employment, self-employment or in-kind income.

#### **900.10 (I) Types of Unearned Income:**

Countable unearned income includes but is not limited to:

- A **ALIMONY OR SPOUSAL MAINTENANCE:** A court-ordered support amount, which a legally divorced or separated person pays to the spouse, must be counted. Verbal or written verification may be obtained from the office of the Clerk of the Court or Division of Child Support Services.
- B **ASSISTANCE PAYMENTS:** such as General Assistance (GA) or Cash Assistance (CA) from this state, as well as, other states must be counted.
- C **BUREAU OF INDIAN AFFAIRS (BIA):**
  - 1. BIA-General Assistance payments are public assistance and treated as any other assistance payments.
  - 2. Clothing allowances available to the individual, whether in cash or a voucher made out to the individual must be counted.
  - 3. Tribal Work Experience Program (TWEP) or Tribal Assistance Project Program (TAPP). Exclude any portion of the amount, which is an incentive payment.
- D **CHILD SUPPORT:** Any payment received directly by the household from an absent parent or paid through the Division of Child Support Services or Clerk of the Court. Only the amount paid to the client is counted (CP) = child support payment. All child support income is considered unearned income.

- E COMMISSIONS: Commissions received from a terminated source of employment are counted as unearned income.
- F CONTRIBUTIONS AND COMPLIMENTARY ASSISTANCE: Cash contributions must be counted as unearned income, if not considered as gifts or child support.
- G INDUSTRIAL COMPENSATION: The amount of the compensation, after attorney's fees are deducted, is unearned income. The Industrial Claim award letter will verify amount being paid but will not verify the attorney's fees.
- H INDIAN GAMBLING INDUSTRY: Per capita disbursements are considered income in the month received. Any amount remaining in a following month will be counted as a resource.
- I INSURANCE: Insurance payments made directly to the insured must be considered income IF the money is not used to replace or repair insured items, such as car, roof repair, or medical bills. Insurance benefits, which are used for or are intended to meet basic daily needs, are counted as unearned income.
- J INTEREST, DIVIDENDS, AND ROYALTIES: Any interest, dividend, or royalty payments, exceeding \$50 in the 30 days prior to and including date of application made directly to the individual, are counted as unearned income. Funds left on deposit or converted into additional securities are a resource.
- K LEGAL SETTLEMENTS: Legal settlements, less attorney fees and medical bills paid by the attorney out of the settlement, are unearned income in the month received.
- L MORTGAGES AND SALES CONTRACTS: Payments received from mortgages or sales contracts are counted. Includes payment received from a reverse mortgage.
- M LUMP SUM PAYMENT: Any form of income received in a lump sum payment, including but not limited to:
  - 1. Inheritance
  - 2. Winnings from lotteries, bingo, or any other form of gambling
  - 3. Insurance settlements including amount withheld as a lawyer's fee
  - 4. Property Tax Credit
  - 5. Rebates/Credits
  - 6. Refund Deposit

## 7. Severance Pay

- N RENTAL INCOME: If the property owner does not perform any services in order to receive the income, it is unearned income.
- O RETIREMENT INCOME: The payments from retirement funds, pensions, and annuities must be considered unearned income.
- P SOCIAL SECURITY ADMINISTRATION BENEFITS: SSA benefits (sometimes referred to as RSDI-Retirement, Survivors, and Disability Insurance) are granted to eligible wage earners and/or their dependents or survivors and are counted as unearned income.
- Q SUPPLEMENTAL SECURITY INCOME (SSI): Monthly cash payments made under the authority of Title XVI of the Social Security Act, as amended, to the aged, blind, and disabled (A Federally financed public assistance program). The recipient need not have contributed to the Social Security Fund to be eligible for SSI benefits.
- R STRIKE PAY: from unions to striking employees is not wages and must be considered unearned income. If there is no check stub, verification can be obtained by calling the Union.
- S UNEMPLOYMENT INSURANCE (UI): Considered unearned income in the month received. The amount of income can be verified by a check stub or contacting the local UI office.
- T VETERANS ADMINISTRATION BENEFITS (VA): Retirement, Survivors, Disability, and Educational Benefits are paid to veterans and their dependents or survivors. Only the amount of the benefit, which is actually received by the person whose income must be included, will be counted.

### 900.11 Verification of Unearned Income

- A. Gross income must be verified before approval. Acceptable verification includes but is not limited to:
  - 1. Assistance payment records
  - 2. Award letter
  - 3. Bank records
  - 4. Court records
  - 5. Division of Child Support Services (DCSS) printouts
  - 6. Divorce or separation papers, contact with the Clerk of the Court
  - 7. The current check when it reflects gross income. Federal government checks are not to be photocopied

8. Signed statement from the agency or payer providing the income
9. Client's statement **WHEN NO OTHER VERIFICATION CAN BE OBTAINED**. All other possible verification sources must be exhausted before accepting a client statement. Caseworker must document all attempts to verify why the client's statement is being allowed.

***\*Exception: At the Service Provider's discretion, client statement may be used to verify household income when the household contains a member(s) who verifies current receipt of either TANF Cash Assistance; Supplemental Nutrition Assistance Program (SNAP); or Supplemental Security Income (SSI) benefits.***

## **900.12 Excluded Income**

Only the income discussed in this section will be excluded.

- A. Insurance payments designated to repay a specific bill, debt, or estimate, which cannot be used for other needs, is not countable
- B. WIC – Payments or benefits to persons participating in the WIC program (Special Supplemental Food Program for Women, Infants, and Children) must be disregarded
- C. Retirement, pension, and annuity interest/dividends are not countable as long as the money **cannot** be withdrawn **without penalty**
- D. Bureau of Indian Affairs (BIA) work-study program. This includes monies provided for educational and living expenses
- E. Work study programs funded under Title IV of the Higher Education Act
- F. Any portion of an education grant or scholarship used for books and supplies, tuition or fees
- G. Earned income of a child 16 and 17 years of age who is a full-time student
- H. Earned income of a child under 16 years of age
- I. Cash gifts of \$50.00 or less per month per household member
- J. Non-cash benefits provided on behalf of a household member but not paid directly in the name of the household member, including but not limited to vouchers for food, clothing, or housing
- K. Loans that need to be repaid
- L. Money that a household member receives and uses for the care and maintenance of a person who is not a household member

- M. Payments/vouchers received by the household from the State for the health/well-being of a foster child residing in the household
- N. Stipends from senior companion programs – VISTA, Title II, Title V
- O. Earned Income Tax Credit
- P. Income Tax Refund
- Q. Reimbursements, e.g., mileage, gas, lodging and meals
- R. Agent Orange Payments
- S. Ameri-Corps Network Program payments for living allowances, earnings, and in-kind aid. The Ameri-Corps Network Program includes but is not limited to:
  - 1. Arizona Conservation Corp
  - 2. Arizona Council of Centers for Children and Adolescents (ACCCA)
  - 3. Border Volunteer Corps (BVC), Mesa Ameri-Corps Community Services Partnership Rural Health Office, University of Arizona, Youth in Action, Learn and Serve (NAU) Child Care Food Program payments
- T. Disaster or emergency assistance provided by the Federal Disaster Relief Act or comparable assistance provided by States, local governments and disaster assistance organizations
- U. Housing and Urban Development (HUD) – Some individuals residing in HUD housing are granted benefits either in the form of credits against their rent or as cash allowances. The cash allowance must be used for the purpose intended, (rental or utility obligation)
- V. Income received directly from the U.S. Census Bureau by participants who are temporarily working for the U.S. Census is not countable
- W. Individual Development Account (IDA) Deposits- 50% of earned income, up to a maximum of \$100, deposited into an “Individual Development Account (IDA) per month is not countable
- X. JobStart Income- Earnings received from participating in the JobStart program are not countable

Y. Training Related Expense (TRE) Income- Reimbursements for training Related Expenses (TRE) are not countable. These include, but not limited to, the following:

1. Fair labor Standards Act (FLSA) supplements issued to Jobs participants.
2. Unpaid Work Experience (UWE) supplements issued to Jobs participants.

Z. **Other types of income not countable:**

- A. Earnings from Title I and II of the DVSA are not countable.
- B. Earnings received from participation in college work study programs funded by either Title IV of the Higher Education Act or Title XIII of the Indian Higher Education Program is not countable.
- C. Workforce Investment Act (WIA) program earnings are not countable. This includes earnings received from On-the-Job Training (OJT).

### **900.13 Income Source**

The income eligibility determination will be completed prior to approving financial assistance.

A. **Documentation**

The case file must be clearly documented. Documentation must include, but is not limited to:

1. Discussion with individual;
2. Verification received from the income source:
  - a) Hours worked
  - b) Pay period end date
  - c) Actual pay dates
  - d) Frequency of pay
3. Extra income – such as, bonuses, tips, commissions, overtime
4. Explanation of how self-employment income was determined
5. Date, name, phone number and information about the collateral contacts
6. Identify the time frame by dates for the 30-day period prior to and including the date of application, i.e., from (month/date) to (application date)

7. Using the frequency and the day of the week paid from a calendar; determine the number of pay dates in the thirty-day period

**900.14 Calculating Income**

- A. Identification of the 30-day period prior to and including the date of application: i.e., from (month/date) to (application date)
- B. The number of pay dates in the thirty-day period; determine frequency of pay date and the day of the week paid
- C. Write the received dates and the gross income
- D. Total this and any other income for the household to calculate the gross income. This process is used to determine if the household is eligible under the required poverty guidelines for STCS

**900.15 Future Income**

A Service Provider cannot deny assistance through the STCS program due to the household's lack of resources to meet future needs.

## **1100 DECISION NOTICES**

### **1100.01 Approval Notices**

When the decision is to approve assistance for **Short Term Crisis Service Program (STCS)**, the Service Provider's approval notice of STCS assistance received is provided to the applicant. No further action will be required. If the client refuses the copy of the completed approval page at the time of the application, the Service Provider must document this in the file. When the decision reported is to approve assistance, the approval notice or application is acceptable means of notification. No further action is required. The applicant must be handed or mailed a hard copy of the approval notice or completed application within five (5) working days of application date.

### **1100.02 Denial Notices**

If the Service Provider determines that the household is not eligible prior to completing the application no written decision needs to be given to the household.

When the decision is to deny or reduce assistance, the denial reason must be stated on the denial letter, or on the application, which is given to the applicant.

The applicant has the right to appeal this decision. Instructions for initiating the appeal process are listed below in [Section 1100, Grievance Process](#).

When the decision reported is to deny or reduce funded assistance, the reason for such denial must be stated on the intake form, application or denial letter. The applicant is handed or mailed a hard copy of the denial notice within five (5) working days of application date.

### **1100.03 Payment Process**

The Service Provider will make direct payments to vendors and will receive reimbursement through the DES/DAAS contract invoice process.

## **1200 GRIEVANCE PROCESS**

This section addresses the grievance process and clients who choose to escalate their grievance to the state level. Each Service Provider must have a grievance procedure in place as defined in their respective contract. The Service Provider should include the DES grievance process contained in this section when providing their internal process to the applicant. Service Provider's internal grievance process should allow for a client to attempt to resolve complaints at the local level in an informal manner. First the applicant/recipient must follow the Service Provider's process prior to appealing with DES. Should an individual decide to appeal the local Service Provider's decision they may appeal through the DES grievance process.

A grievance procedure is a process through which any individual may have a decision reviewed by a third party in accordance with *Arizona Administrative Code R-5-2404*. An opportunity for a grievance hearing shall be granted to any applicant who requests a hearing because their application for STCS assistance was denied, terminated or incurred a benefit reduction. There are four steps to the procedure;

1. An opportunity to file a request for a fair hearing regarding any adverse action shall be granted by the Service Provider 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 ten (10) working days provide in writing a statement of the grounds for the hearing. The request must be submitted to the Service Provider within ten (10) working days after the mailing date on the decision letter. The Service Provider receiving the grievance will make all efforts to resolve the issues within ten (10) working days of the request.
2. In the event the applicant/recipient wishes to appeal the decision of the Service Provider, the applicant/recipient may within ten (10) working days of receiving the Service Provider's decision letter appeal in writing to the DES/DAAS Assistant Director. The Assistant Director will assign the appropriate personnel to conduct the hearing. A decision will be provided within ten (10) working days of the appeal letter. The request should be mailed to:

**DEPARTMENT OF ECONOMIC SECURITY – Mail Drop 6283  
Division of Aging and Adult Services  
COMMUNITY SERVICES PROGRAM ADMINISTRATOR  
P.O. Box 6123  
Phoenix, AZ 85005-6123**

3. In the event the applicant/recipient wishes to appeal DES/DAAS's decision the applicant/recipient may within ten working days of receiving the DES/DAAS's decision letter, request in writing, a fair hearing from the Arizona Court of Appeals. The Arizona Court of Appeals will be responsible for conducting the hearing and providing a decision within sixty (60) days of the receiving the request.
4. In the event the applicant/recipient wishes to appeal the decision of the Arizona Court of Appeals, the applicant/recipient may within ten (10) working days of receiving the

Arizona Court of Appeals 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 sixty (60) days of the request.

### **1200.01 Service Provider's Additional Responsibilities to the Applicant/Recipient**

The Service Provider will provide the applicant/recipient with a copy of their application. The Service Provider is also responsible for the following hearing related activities:

- A. Upon written or verbal request, provide the applicant/recipient with materials needed to prepare for the review, including copies of pertinent documents in their case file.
- B. The grievance hearing notification shall be given to the applicant/recipient at least twenty (20) calendar days prior to the date set for the hearing and include: date, time, address and a statement of the issues involved.
- C. Determine whether a bilingual interpreter or other alternative form of communication is needed.
- D. The Service Provider shall render a written decision to the appellant no later than twenty (20) calendar days from the date of the hearing.
- E. The applicant/recipient must be advised of their right to appeal the decision and process by which to do so.

**Note:** All documents given to the public must include a reasonable accommodation statement.

### **1200.02 Service Provider's Responsibilities to the Division of Aging and Adult Services**

The Service Provider is responsible for providing the following information to DES/DAAS within ten (10) working days from the request:

- A. A grievance packet that contains the appellant's application, verification documents which justify the action the Service Provider has taken, case notes, printouts and all other information relevant to the issue, and a copy of the denial notice given to applicant.
- B. A brief summary of the circumstances supporting the Service Provider's determination which is at issue including copies of all pertinent documentation.
- C. The date the hearing was conducted.

### **1200.03 Service Provider's Appeal Rights**

Service Providers have the right to appeal a decision made by DES/DAAS. A written request must be submitted to DES/DAAS within ten (10) working days of the post-mark date of the DES/DAAS decision letter. The request must be signed,

dated and contain the reason for requesting the hearing. The request must be submitted to:

**DEPARTMENT OF ECONOMIC SECURITY – Mail Drop 6283**  
**Division of Aging and Adult Services**  
**COMMUNITY SERVICES PROGRAM ADMINISTRATOR**  
**P.O. Box 6123**  
**Phoenix, AZ 85005-6123**

#### **1200.04 Division of Aging and Adult Services Responsibilities**

DES/DAAS is responsible for the following hearing related activities:

- A. Upon written or verbal request, provide the applicant/recipient with contact information for available legal service.
- B. Upon written or verbal request, provide the applicant/recipient with materials needed to prepare for the hearing, including copies of pertinent documents in their case file.
- C. The hearing notice shall be given to the applicant/recipient at least twenty (20) calendar days prior to the date set for the hearing and include: date, time, address and a statement of the issues involved.
- D. Determine whether a bilingual interpreter or other alternative form of communication is needed.
- E. DES/DAAS shall render a written decision to the applicant/recipient and Service Provider no later than twenty (20) calendar days from the date of the hearing.

### **1300 OPERATING PRINCIPLES**

#### **1300.01 Nondiscrimination**

- A. In compliance with Title VI of the Civil Rights Act of 1964 and Executive Order 12250, no individual in Arizona shall be excluded from participation in, denied benefits or subjected to discrimination under any program or activity receiving Federal funds, because of:
  - 1. Race;
  - 2. Color;
  - 3. National origin;
  - 4. Handicap;
  - 5. Religion; or
  - 6. Sex

B. In compliance with the Age Discrimination Act of 1975, no individual shall be denied services or participation or be subjected to discrimination in any of its programs or activities on the basis of age.

C. In compliance with the Age Discrimination Act of 1975, no individual shall be denied services or participation or be subjected to discrimination in any of its programs or activities on the basis of age.

### **1300.02 Information Available to the Public**

The items which govern program administration will be maintained in the DES-DAAS office, 1789 W. Jefferson, Phoenix, Arizona 85005 for examination during regular office hours.

- **Short Term Crisis Services (STCS)** – STCS Policy Manual

### **1300.03 Confidential Information**

Public law and federal regulations place restrictions on the release of confidential information and set guidelines for the disclosure of non-confidential materials. All applications, records, files and communications of DES and contractors, relating to specific applicants for assistance and recipients of services funded by DES, are confidential records.

All information, regarding an applicant or recipient, is confidential and may be disclosed only for purposes of determining eligibility, providing services, or investigating suspected fraud in connection with the program. Applicants for services authorize access to their records by signing the application. Anyone not authorized on the application must have the applicant's written approval to access information.

Information that can be exchanged must pertain to the eligibility of the applicant, and excludes items that do not address eligibility, i.e., and personal details. Inappropriate disclosure of information can result in severe disciplinary action or could result in the suspension of the contract agreement.

Access to information by inappropriate, unauthorized individuals or parties shall be considered a violation of the individual's right to confidentiality. Care should be taken to secure all files in the office so that unauthorized personnel do not have access to them. All records shall be open to any and all federal, state, and contractor auditors and/or examiners in the course of their regular audits.

General information, policy statements, or statistical materials, which cannot be directly identified to any individual or family, are not considered confidential information. They may be given to, or provided by: agencies, helping organizations, or contracted parties, unless restricted by Arizona statutes, federal regulations, or court orders.

When the decision reported is to approve assistance, the approval notice or application is information only and no further action is required.

When the decision reported is to deny or reduce funded assistance, the reason for such denial must be stated on the intake form, denial letter, or on the application.

## **1400 FINGERPRINTING CLEARANCE CARD (CC) PROCEDURE GUIDELINE**

### **1400.01 Finger Print Clearance Process Design**

Each Service Provider can design this process to fit their own HR needs. A Service Provider can submit the necessary paperwork for the applicant or they can request that the applicant complete the process on their own. The process outlined below pertains to a Service Provider completing the process for the applicant.

### **1400.02 Application Process**

*Each employee/volunteer will need to: Complete an application for a fingerprint CC. (See Example 1) The Example shown in 1 above shows how to complete the current fingerprint CC application reflecting DAAS' new authority for the fingerprint CC. DPS is working on revising the fingerprint CC application and is hoping to have it done prior to the effective date of July 20, 2011.*

*If the revision is complete prior to July 20, 2011, the new application will be used and checking the box next to DAAS is all that will be needed.*

*If the new application is not done prior to July 20, 2011, the applicant will need to mirror what is shown in Example 1.*

*Certain fields on the fingerprint CC application sheet contain symbols that the applicant should use when completing the form. These symbols are noted on the cover sheet. (See Example 1a)*

*Complete a fingerprint card (See Example 2) and have the employee's/volunteer's fingerprints printed by having them:*

*Rolled, with an ink pad or*

*Scanned through a live scan machine:*

*For this process the employee's/volunteer's prints can be scanned and printed:*

*Out on a separate piece of paper and attached to the fingerprint card, or*

*Directly on to the fingerprint card.*

(1) For those employees/volunteers that were printed between **May 2010 and July 2011**, the same fingerprint card may be re-used for the fingerprint CC application process provided their fingerprints were not rejected.

- a) DAAS will return the fingerprint cards that had good, clear prints and were used to make a “clear” or “not clear” determination back to each Region. If an employee’s/volunteer’s fingerprints were rejected and not able to be used, these fingerprint cards will not be returned to the regions as the employee/volunteer will need to submit a new set of prints.

NOTE: If you are submitting a reused fingerprint card don’t worry about the coding or info on the top of the fingerprint card because DPS will only use the fingerprints.

- b) For new employees/volunteers, or individuals that need to be re-rolled, please have a new fingerprint card completed. (See Example 2)
  - i. The codes needed for the fingerprint CC process will be pre-printed on the fingerprint cards received from DPS. The employee/volunteer will only need to complete their name, address and SSN information. They do not need to complete the employer name and address block as it is pre-stamped on the card showing DPS information.
  - ii. Complete the Criminal History Self Disclosure Affidavit (LCR-1034A FORNA [9-09]) (See Example 3) and have it notarized. This document is only completed at the initial application process and again at renewal. It is retained in the employee’s/volunteer’s personnel file and **does not** go to DPS with the application and fingerprint card.

NOTE: If the employee/volunteer completed an affidavit prior to completing a fingerprint CC application for the one-time background check or to comply with the new requirements of A.R.S § 46-141 F. (effective on July 20, 2011), during the 2012 contract renewal process, a new affidavit is not necessary. However, the ultimate decision is up to the AAA/CAA for completing a new affidavit.

NOTE: The form provided in Example 3 is a **draft** as it is currently being reviewed and revised by our Office of Procurement and Attorney General’s Office. Once the form is finalized we will send you a copy.

- iii. Once the items in sections i and ii above are complete, the forms can be combined into one packet and mailed to DPS

(address noted below) with payment. One packet can consist of no more than 30 applications for employee/volunteers at a time with one form of payment.

Mail packet and payment to:

**Arizona Department of Public Safety  
Fingerprint Clearance Card Application  
P.O. Box 18390  
Phoenix, Arizona 85005-8390**

- iv. Current payment amounts are \$69 for employees and \$65 for volunteers.
- v. Acceptable forms of payment are Cashier's Checks, Money Orders or a check drawn on a business account. All forms of payment should be made payable to the Arizona Department of Public Safety.

### **1400.03 Supplies**

NOTE: When you request fingerprint CC applications and fingerprint cards from DPS, you will be given no more than a 90 day supply (90 fingerprint cards/90 fingerprint CC applications). This is to ensure that the forms are accurate and the most recent available.

a) You will work directly with DPS to obtain supplies. You can either:

- i) Call (602) 223-2279, or
- ii) Complete a supply request form (See page 35) and:

(1) Fax request form to (602) 223-2947, or

(2) Mail to: Arizona Department of Public Safety  
P.O. Box 18390  
Phoenix, AZ 85005-8390

## **2) Results**

### **I. CLEAR**

a) Once the State and FBI background checks are complete:

- i) DPS will notify the employee/volunteer they have cleared the fingerprint CC background check by sending:

(1) A Level One CC (card will say Level One at the top).

- (a) If a Level One CC is received the employee/volunteer will need to provide their employer the CC so that a copy, of the front and back, can be made for the employee's/volunteer's personnel file.
- (b) The employee/volunteer can also receive a Level One Driving Restricted (DR) card. This is a valid CC, but restricts the employee/volunteer from providing direct service for any service that would require them to transport employees or clients. DES will also be notified when a Level One DR card is issued.

*NOTE: DPS does not notify DES when an applicant is cleared or when a CC was received so each AAA/CAA will want to have some type of tracking set up to ensure they are receiving feedback for those employees/volunteers that were approved.*

## **II. NOT CLEAR**

- ii) DPS will notify the employee/volunteer they have not cleared the fingerprint CC background check by sending:
  - (1) A notification that their application was denied, along with a letter that will explain if they can appeal or not and if so, instructions on that process.

## **III. OTHER**

- iii) An applicant can receive a Regular CC (will not say Level One at the top) which means the person did not qualify for a Level One card according to the offenses listed in A.R.S. § 41-1758.07, but did qualify for a Regular card according to the offenses listed in A.R.S. § 41-1758.03. In this case DES will get a copy of the notification showing that the applicant was not approved for a Level One card but did receive a Regular CC.

*NOTE: If an employee/volunteer receives a Regular CC they are unable to provide direct service to DES clients according to A.R.S § 41-161, A, which requires those that Contract with DES, and provide direct service, have a Level One CC.*

## **IV. STATUS CHECK**

- iv) If a prospective employee/volunteer, that will be providing direct service, already has a Level One fingerprint clearance card from previous employment you can verify the status by using the attached Status request form 2009 (Example 6).

(1) Once status have been confirmed:

- a) A copy of the front and back of the employee/volunteer Level One CC shall be filed in the employees/volunteers personnel file for every employee/volunteer that provides direct service.

**V. NOTIFICATION**

- iv) DPS will notify DES when an application is denied, terminated, suspended, cleared but with a driving restriction and when a Regular CC (not Level One) is received.

(1) DES will notify the AAA/CAA of the information by sending a secure email. (See Example 5)

**3) Monitoring Requirements**

a) When DAAS is monitoring a AAA/CAA:

- i) The information required to show compliance with A.R.S § 46-141, A., which pertains to employee's/volunteers that provide direct service, will be:

(1) A copy of the front and back of their Level One CC shall be filed in their personnel file.

When an AAA/CAA monitors a Provider or Sub-Contractor the same requirement noted in 4) a) above is needed to show compliance with A.R.S. § 46-141, A

**APPLICANT CLEARANCE CARD TEAM (ACCT)  
SUPPLY ORDER FORM  
Telephone #: (602) 223-2279**

**NOTE: Please destroy any OLD ORDER FORMS with a revision date prior to 05-2010.**

Date: \_\_\_\_\_ **Please allow 3-4 weeks for processing.**

MAIL to the ATTENTION of: \_\_\_\_\_ PHONE: \_\_\_\_\_

\_\_\_\_\_  
**AGENC NAME:**

\_\_\_\_\_  
**AGENCY MAILING ADDRESS:**

\_\_\_\_\_  
**CITY, STATE, ZIP CODE:**

\_\_\_\_\_  
**COMMENTS:**

**FAX completed form to: (602) 223-2947 OR MAIL completed form to:  
Arizona Department of Public Safety  
P.O. Box 18390  
Phoenix, AZ 85005-8390**

**BOX 2**

Order REGULAR APPLICATION supplies in THIS box.

**Please limit your order to a 90 day supply since the application forms are subject to change.**

**Circle amount requested:**

**REGULAR APPLICATION FORMS (DPS #802-06857) ----- 25    50    100    200**

**Note:** *If a supplement to the application is included with your order, you will need to make a copy to go with each application distributed.*

**FINGERPRINT CARDS ----- 25    50    100    200**

**REGULAR RETURN ENVELOPES ----- 25    50    100    200**

**FOR ACCT USE ONLY:**

ORDER REQUEST RECEIVED: \_\_\_\_\_ ORDER MAILED: \_\_\_\_\_

\_\_\_\_\_  
(Date / Badge)

(Date / Badge)

## **Criminal History Self Disclosure Affidavit Guideline**

1. The Criminal History Self Disclosure affidavit is needed on all (new and old) employees/volunteers. The affidavit must be notarized and retained in the employee/volunteers personnel file. It **does not** go to DPS.
2. Under no circumstances will any employee/volunteer be allowed to have contact with a juvenile or vulnerable adult until they have successfully passed the Central Registry check and have been granted a Level One Fingerprint Clearance Card.
3. *Volunteers who provide services to juveniles or vulnerable adults under the direct visual supervision of the contractor's or licensee's employees are exempt from the fingerprinting requirements of this section, **unless the volunteer works in a group home, residential treatment center, shelter or other congregate care setting.***

**SFY 2021 DES/DAAS Community Action Programs and Services Income Limits, Energy Points and Poverty Interval Reporting Factors Effective July 1 2020 through June 30 2021 - Attachment SFY-21-K1.A2**

INCOME LIMITS FOR LIHEAP		LIHEAP ENERGY POINTS FOR INCOME			
HH#	LIHEAP	5	4	3	2
Number of household members	LIHEAP - All households (greater of 60% SMI or 150% FPL)	(5) Energy points if at or under (25% of income limit)	(4) Energy points if greater than (A) and less than or = (B) (50% of income limit)	(3) Energy points if greater than (B) and less than or = (C) (76% of income limit)	(2) Energy points if greater than (C) and less than or = (D) (100% of the income limit)
1	\$2,061	\$515	\$1,031	\$1,546	\$2,061
2	\$2,695	\$674	\$1,348	\$2,021	\$2,695
3	\$3,329	\$832	\$1,665	\$2,497	\$3,329
4	\$3,964	\$991	\$1,982	\$2,973	\$3,964
5	\$4,558	\$1,140	\$2,279	\$3,419	\$4,558
6	\$5,232	\$1,308	\$2,616	\$3,924	\$5,232
7	\$5,351	\$1,338	\$2,676	\$4,013	\$5,351
8	\$5,515	\$1,379	\$2,758	\$4,136	\$5,515
9	\$6,075	\$1,519	\$3,038	\$4,556	\$6,075
10	\$6,635	\$1,659	\$3,318	\$4,976	\$6,635
11	\$7,195	\$1,799	\$3,598	\$5,396	\$7,195
12	\$7,755	\$1,939	\$3,878	\$5,816	\$7,755
13	\$8,315	\$2,079	\$4,158	\$6,236	\$8,315
14	\$8,875	\$2,219	\$4,438	\$6,656	\$8,875
15	\$9,435	\$2,359	\$4,718	\$7,076	\$9,435
16	\$9,995	\$2,499	\$4,998	\$7,496	\$9,995
17	\$10,555	\$2,639	\$5,278	\$7,916	\$10,555
FOR EACH ADDL	EACH ADDL	EACH ADDL	EACH ADDL	EACH ADDL	EACH ADDL
OVER 17	<b>\$560</b>	<b>\$140</b>	<b>\$280</b>	<b>\$420</b>	<b>\$560</b>

\* NOTE: In Arizona, children are considered vulnerable at 6 years of age, that is under 7, for the purposes of determining energy burden points and benefit award levels. For LIHEAP reporting purposes however, The Detailed Household Report counts children UNDER 6, that is children under 5 years, 365 days of age.