LOW INCOME HOME ENERGY ASSISTANCE PROGRAM (LIHEAP)

DETAILED MODEL PLAN

PUBLIC LAW 97-35, AS AMENDED

FISCAL YEAR (FY) 2014

GRANTEE: New York State Office of Temporary and Disability Assistance (NYS OTDA)
EIN: 1-14-601-3200-K1

ADDRESS: 40 North Pearl Street
Albany, NY 12243

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PLEASE CHECK ONE: TRIBE ___ STATE ___ X ___ INSULAR AREA ___

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

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

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

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

OMB Approval No. 0970-0075
Assurances

The New York State Office of Temporary and Disability Assistance (NYS OTDA) agrees to:

(1) Use the funds available under this title to--

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

(B) Intervene in energy crisis situations;

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

(D) Plan, develop, and administer the State's program under this title including leveraging programs

And the State agrees not to use such funds for any purposes other than those specified in this title;

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

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

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

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

   (iii) Food Stamps under the Food Stamp Act of 1977; or,

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

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

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

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

except that a State may not exclude a household from eligibility in a fiscal year solely on the basis of household income if such income is less than 110 percent of the poverty level for such State, but the State may give priority to those households with the highest home energy costs or needs in relation to household income.
(3) conduct outreach activities designed to assure that eligible households, especially households with elderly individuals or disabled individuals, or both, and households with high home energy burdens, are made aware of the assistance available under this title, and any similar energy-related assistance available under subtitle B of title VI (relating to community services block grant program) or under any other provision of law which carries out programs which were administered under the Economic Opportunity Act of 1964 before the date of the enactment of this Act;

(4) coordinate its activities under this title with similar and related programs administered by the Federal Government and such State. Particularly low-income energy-related programs under subtitle B of title VI (relating to community services block grant program), under the supplemental security income program, under part A of title IV of the Social Security Act, under title XX of the Social Security Act, under the low-income weatherization assistance program under title IV of the Energy Conservation and Production Act, or under any other provision of law which carries out programs which were administered under the Economic Opportunity Act of 1964 before the date of the enactment of this Act;

(5) provide, in a timely manner, that the highest level of assistance will be furnished to those households which have the lowest incomes and the highest energy costs or needs in relation to income, taking into account family size, except that the State may not differentiate in implementing this section between the households described in clauses 2(A) and 2(B) of this subsection;

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

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

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

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

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

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

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

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

(8) provide assurances that--

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

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

(9) Provide that--

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

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

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

(11) permit and cooperate with Federal investigations undertaken in accordance with section
2808;

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

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

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

(15) * beginning in fiscal year 1982, provide, in addition to such services as may be offered by
State Departments of Public Welfare at the local level outreach and intake functions for crisis

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situations and heating and cooling assistance that is administered by additional State and local
governmental entities or community-based organizations (such as community action
agencies, area agencies on aging and not-for-profit neighborhood-based organizations), and in
States where such organizations do not administer functions as of September 30, 1991,
preference in awarding grants or contracts for intake services shall be provided to those
agencies that administer the low-income weatherization or energy crisis intervention programs

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

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

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

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

Signature: [Signature]

Title: GOVERNOR, STATE OF NEW YORK

Date: August 30, 2013

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

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

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

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

Statutory References

2605(a)
2605(b)(1) ➔ Please check which components you will operate under the LIHEAP program.
(Note: You must provide information for each component designated here as
requested elsewhere in this plan)

(Use of funds)

<table>
<thead>
<tr>
<th></th>
<th>Dates of Operation</th>
</tr>
</thead>
<tbody>
<tr>
<td>X Heating Assistance</td>
<td>*11/18/13-2/1/14</td>
</tr>
<tr>
<td>X Cooling Assistance</td>
<td>**4/1/14-8/29/14</td>
</tr>
<tr>
<td>X Crisis assistance</td>
<td>***1/2/14-3/17/14</td>
</tr>
</tbody>
</table>
| Heating Equipment Repair
  Replacement               |
| X Weatherization Assistance |

*Opening of the heating assistance component is contingent upon the availability of federal funds. Early Outreach to households with a vulnerable individual who received a benefit in 2012-13 will begin on August 28, 2013. NYS reserves the right to open the heating assistance component earlier or later than 11/18/13, to extend its operation beyond 3/17/14

** Opening of the cooling component is contingent upon the availability of federal funds. NYS reserves the right to open the cooling component earlier or later than 4/1/14, to extend its operation beyond 8/29/14 or to close this component earlier than 8/29/14

*** Opening of the crisis component is contingent upon the availability of federal funds. NYS reserves the right to open the crisis component earlier or later than 1/2/14, to extend its operation until 3/17/14 or later. NYS will not operate a HEAP funded Heating Equipment Repair and Replacement Component for the 2013-14 HEAP season but reserves the right to operate such a component, which may or may not be limited to the repair/replacement of heating equipment damaged due to natural or man-made disasters

NYS reserves the right to modify the program based on the availability of additional federal funds, either formula or emergency contingency funding, or as a result of reduced federal formula funding

The selection of any of the listed program changes is dependent upon factors that include, but are not limited to: 1) the amount of additional funding; 2) parameters or conditions attached to the funds; 3) the season (i.e., heating or cooling) during which the funds become available; 4) the timing of the release of additional funding; and 5) the amount of the reduction of reduced federal formula funding and the timing of such reduction.
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If additional funds become available in advance of or during the heating season, NYS may:

- Issue additional regular and/or emergency benefits. Such benefit amounts may be less than, equal to, or greater than the amount of the first regular and/or first emergency benefit;
- Increase the regular and/or emergency benefit amounts;
- Provide a supplemental benefit to any household receiving a regular HEAP benefit during the most recent/current program year;
- Implement additional outreach and referral activities;
- Operate a heating equipment repair/replacement component, which may be limited to the repair/replacement of heating equipment damaged due to natural or man-made disasters; and/or,
- Increase the percentage of funds provided to low income weatherization.

If additional funds become available during the cooling season, NYS may:

- Provide a benefit for cooling energy costs to eligible households, either as a supplement or as a separate benefit type;
- Purchase and install cooling equipment for HEAP eligible, medically needy households;
- Allocate additional funds to the cooling component;
- Implement energy conservation measures as approved by HHS and/or DOE; and/or,
- Implement additional outreach and referral activities.

If federal formula funds are reduced in advance of or during the heating season and/or if some or all of NYS' expected allocation of FFY 2014 formula funds are not received by NYS prior to November 1, 2013, or if federal funding is otherwise unavailable, NYS may:

- Reduce the regular and/or emergency benefit amounts;
- Open the heating assistance component later than 11/18/13;
- Close the heating assistance component earlier than 3/17/14;
- Open the crisis component later than 1/2/14;
- Close the crisis component no earlier than 3/15/14;
- Open the cooling assistance component later than 4/1/14;
- Close the cooling assistance component earlier than 8/29/14; and/or,
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- Not operate a cooling assistance component

NYS provides both heating and crisis assistance.

The NYS HEAP program is structured to provide non-crisis benefits to eligible households that make direct payments to a vendor for their primary heat source and to those households who make undesignated payments for heat in form of rent or other allowable shelter payments.

Through NYS outreach activities, benefits will be targeted to households which include a vulnerable individual. A vulnerable individual is defined as an individual under age six, age 60 or older, or disabled. To target assistance to those households with the highest home energy burden, NYS has developed a benefit structure that directs higher benefits to households that make direct payments to a vendor for their primary heat source, with the highest benefits provided to households with the lowest income, based on family size, and the presence of vulnerable household members.

2605(c)(l)(C) → Please estimate what amount of available LIHEAP funds will be used for each component that you will operate: The total of all percentages must add up to 100%.

<table>
<thead>
<tr>
<th>(use of funds)</th>
<th>62.3%</th>
<th>Heating Assistance</th>
</tr>
</thead>
<tbody>
<tr>
<td>*1%</td>
<td>Cooling Assistance</td>
<td></td>
</tr>
<tr>
<td>18.7%</td>
<td>Crisis Assistance</td>
<td></td>
</tr>
<tr>
<td>2605(k)(1)</td>
<td>10%</td>
<td>Weatherization Assistance</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Carryover to the following fiscal year</td>
</tr>
<tr>
<td>2605(b)(9)</td>
<td>8%</td>
<td>Administrative and planning costs</td>
</tr>
<tr>
<td>2605(b)(16)</td>
<td>Services to reduce home energy needs including needs assessment (Assurance 16)</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Used to develop and implement leveraging activities (limited to the greater of 0.08% or $35,000 for States, the greater of 2% or $100 for territories, tribes and tribal organizations).</td>
</tr>
<tr>
<td></td>
<td>100%</td>
<td>TOTAL</td>
</tr>
</tbody>
</table>

*rounded up from 98%

New York State will pay from non-federal sources any remaining costs of planning and administering the LIHEAP program and will not use Federal funds for any such remaining costs (except for the costs of the activities described in Assurance 16)
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Statutory References

2605(c)(1)(C) ➔ The funds reserved for winter crisis assistance that have not been expended by March 15 will be reprogrammed to:

(Alternate use Of crisis assistance)

<table>
<thead>
<tr>
<th>Heating Assistance</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>X</td>
<td>Cooling Assistance - NYS reserves the right to allocate additional funds to the cooling component</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Weatherization Assistance</th>
</tr>
</thead>
<tbody>
<tr>
<td>X Other(specify): To extend the crisis component closing date</td>
</tr>
</tbody>
</table>

➔ Do you accept applications for energy crisis assistance at sites that are geographically accessible to all households in the area to be served? (This is required by the statute)

| X Yes | No |

2605(b)(2) ➔ what are your maximum eligibility limits? (Please check the components to which they apply)

Current year guidelines must be used.

(Eligibility)

<table>
<thead>
<tr>
<th>150% of the poverty guidelines:</th>
</tr>
</thead>
<tbody>
<tr>
<td>heating</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>125% of the poverty guidelines:</th>
</tr>
</thead>
<tbody>
<tr>
<td>heating</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>110% of the poverty guidelines:</th>
</tr>
</thead>
<tbody>
<tr>
<td>heating</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>X 50% of the State’s median income:</th>
</tr>
</thead>
<tbody>
<tr>
<td>heating</td>
</tr>
</tbody>
</table>

Other (specify for each component)

<table>
<thead>
<tr>
<th>X Households automatically eligible if one person is receiving:</th>
</tr>
</thead>
<tbody>
<tr>
<td>X TANF</td>
</tr>
</tbody>
</table>

Certain means tested veterans programs

| heating | cooling | crisis | wx |

*NYS living code A only

Households in which one or more household members are in receipt of Safety Net Assistance (SNA), Family Assistance (TANF), SSI (categorized as NYS living Code A "living alone") or Supplemental Nutrition Assistance Program (SNAP) are categorically income eligible for HEAP.

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For income tested households, the maximum income eligibility limit for regular and crisis
HEAP benefits will be set at the greater of 150% of the federal poverty level or 60% of
the State's Median Income. NYS reserves the right to reduce income guidelines prior to
program opening if federal funds are less than the planning base amount.

MAXIMUM MONTHLY INCOME LEVELS
FOR RECEIPT OF TIER I AND II REGULAR HEAP BENEFITS IN 2013-14
Maximum income levels for crisis are set at the Tier II level

<table>
<thead>
<tr>
<th>Household Size</th>
<th>2013-14 HEAP MONTHLY INCOME ELIGIBILITY GUIDELINES</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Tier I</td>
</tr>
<tr>
<td>1</td>
<td>0 - 1,245</td>
</tr>
<tr>
<td>2</td>
<td>0 - 1,680</td>
</tr>
<tr>
<td>3</td>
<td>0 - 2,116</td>
</tr>
<tr>
<td>4</td>
<td>0 - 2,551</td>
</tr>
<tr>
<td>5</td>
<td>0 - 2,987</td>
</tr>
<tr>
<td>6</td>
<td>0 - 3,422</td>
</tr>
<tr>
<td>7</td>
<td>0 - 3,858</td>
</tr>
<tr>
<td>8</td>
<td>0 - 4,293</td>
</tr>
<tr>
<td>9</td>
<td>0 - 4,729</td>
</tr>
<tr>
<td>10</td>
<td>0 - 5,164</td>
</tr>
<tr>
<td>11</td>
<td>0 - 5,600</td>
</tr>
<tr>
<td>***11+</td>
<td>436</td>
</tr>
</tbody>
</table>

* Tier I figures represent 130% of the federal poverty level (derived from the 2013 HHS
  poverty guidelines).

** Tier II figures for households up to and including 10 members are based on 60% of the
  State Median Income derived from the State Median Estimates for use in FFY 2014

*** Figures for households of 11 members and above are based on 150% of the federal
  poverty level (derived from the 2013 HHS poverty guidelines).
GRANTEE: NEW YORK STATE OFFICE OF TEMPORARY AND DISABILITY ASSISTANCE FFY 2014

Statutory References

2605(c)(1)(A) 2605(b)(2) (Eligibility)

→ Do you have additional eligibility requirements for:

HEATING ASSISTANCE

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>X</td>
<td></td>
</tr>
</tbody>
</table>

→ Do you use:

<table>
<thead>
<tr>
<th>Assets Test</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
</tr>
<tr>
<td>X</td>
</tr>
</tbody>
</table>

→ Do you give priority in eligibility to:

<table>
<thead>
<tr>
<th>Elderly</th>
<th>Disabled</th>
<th>Young Children</th>
</tr>
</thead>
<tbody>
<tr>
<td>X</td>
<td>X</td>
<td></td>
</tr>
</tbody>
</table>

Other (If Yes, please describe) X

In addition to income testing (or the determination of categorical income eligibility based upon receipt of certain means-tested programs), the following criteria will be utilized to determine eligibility for HEAP benefits:

Household Definition

A household is defined as any individual or group of individuals who are living together as one economic unit for whom residential energy is customarily purchased in common or that makes undesignated payments for energy in the form of rent. When an individual applies for regular HEAP for his or her household, the housing unit includes any individual residing in the home that is related by blood, marriage or adoption unless he or she supplies reasonable evidence to rebut this presumption.

Ineligible Living Arrangements

Households in the following living arrangements are not eligible to receive HEAP benefits:

- individuals who have no responsibility for heating costs and do not make undesignated payments for heat in the form of rent;
- individuals paying room or room and board in a private residence;
- individuals temporarily housed in a hotel/motel;
- individuals living in cars, vans, or temporarily living in recreational vehicles;
- residents of government provided housing on military bases with no heat or utility bills in their names;
- individuals living in an unsafe and/or condemned dwelling where the district is aware of the living conditions and has determined that the deficiencies cannot be reasonably corrected in a manner to ensure safe, healthy habitation; and,
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- residents of congregate care facilities (licensed or unlicensed), dormitories, agency
  boarding homes, group homes, institutions or Title XIX facilities, except that income
  eligible households that make undesignated payments for heat in the form of rent in the
  following living arrangements are eligible for a maximum annual HEAP regular benefit of
  $1.00:

  > government subsidized housing with heat included in the rent;

  > publicly operated or State-certified private nonprofit residential drug or alcoholic
    treatment facilities;

  > private nonprofit residential drug or alcoholic treatment facilities that are
    authorized as a food stamp retailer by the United States Department of
    Agriculture or are in receipt of a letter from the certifying State agency stating that
    the facility operates to further the goals of Title XIX;

  > publicly operated or State-certified private nonprofit enriched housing;

  > publicly operated or State-certified private nonprofit residential group living
    facilities serving no more than 16 residents;

  > publicly operated or State-certified private nonprofit supervised or supportive
    living arrangements; and,

  > State-Operated Community Residences

**NOTE:** Households residing in these seven living arrangement exception
categories are only eligible for a maximum annual HEAP regular benefit of $1.00
and are not eligible for emergency HEAP or any other benefit under HEAP,
extcept that eligible households in government subsidized housing with heat
included in the rent that pay a supplier directly for heat-related utility service may
be eligible for a HEAP heat-related emergency benefit if such benefit is
necessary to resolve the heat-related energy crisis of the household.

An individual residing in a Public Service Commission (PSC) approved submetered dwelling
under 16 NYCRR part 96 may be eligible for a direct heating benefit and/or an emergency
benefit if such individual is the customer of record and meets all the other eligibility criteria for
either the direct heating benefit or the emergency benefit. The term “customer of record” means
a person or persons who have an account in their name with a home energy vendor and who
reside in the dwelling for which they are requesting HEAP assistance. A submetered entity
would be considered a “home energy vendor” for the purposes of HEAP eligibility and would be
required to sign a vendor agreement as a participating vendor.

**Citizenship Requirements**

In addition to the above criteria, an individual is not eligible for HEAP unless he or she is a
United States citizen, a United States non-citizen national or a qualified alien as defined by the
Federal government under 8 U.S.C §1641 (b) and (c).
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Social Security Number Requirement

Applicants must provide valid Social Security numbers for all household members

Residence

The applicant must reside in New York State and must apply in the county of residence. The applicant’s current address must be the primary residence and the applicant must be residing at the address at the time of application. Temporary absence is permitted under limited circumstances.

Participating Vendor

Applicants who qualify for a heater’s benefits must choose a vendor participating in HEAP. A Participating vendor is a vendor who has a current signed vendor agreement on file with OTDA.

Statutory References

2605(c)(1)(a)
2605(b)(2)

→ Do you have additional eligibility requirements for:
COOLING ASSISTANCE*

<table>
<thead>
<tr>
<th>(Eligibility)</th>
</tr>
</thead>
<tbody>
<tr>
<td>→ Do you use:</td>
</tr>
<tr>
<td>Assets Test</td>
</tr>
<tr>
<td>Yes</td>
</tr>
<tr>
<td>X</td>
</tr>
<tr>
<td>→ Do you give priority in eligibility to:</td>
</tr>
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<td>Elderly</td>
</tr>
<tr>
<td>Disabled</td>
</tr>
<tr>
<td>Young Children</td>
</tr>
<tr>
<td>Other (If Yes, please describe)</td>
</tr>
<tr>
<td>X</td>
</tr>
<tr>
<td>Documented Medical need</td>
</tr>
</tbody>
</table>

Statutory References

2604(c)
2605(c)(1)(A)

→ Do you have additional eligibility requirements for:
CRISIS ASSISTANCE

<table>
<thead>
<tr>
<th>(Eligibility)</th>
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</thead>
<tbody>
<tr>
<td>→ Do you use:</td>
</tr>
<tr>
<td>Assets Test</td>
</tr>
<tr>
<td>Yes</td>
</tr>
<tr>
<td>X</td>
</tr>
<tr>
<td>Must the household have received a shut-off notice or have an empty tank?</td>
</tr>
<tr>
<td>*X</td>
</tr>
<tr>
<td>Must the household have exhausted regular benefit?</td>
</tr>
<tr>
<td>**X</td>
</tr>
</tbody>
</table>

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| Must the household have received a rent eviction notice? | X |
| Must heating/cooling be medically necessary? | X |
| Other (if Yes, please explain) | X |

What constitutes a crisis? (Please describe)

*Must have less than ¼ tank for oil, kerosene or propane or less than a 10 day supply for other deliverable fuels, or must have heat or heat related utility service terminated or scheduled for termination. Temporary housing may be provided to eligible households whose heat or heat-related crisis cannot be immediately resolved. Crisis assistance is also provided to eligible households for propane tank deposits when the applicant’s current vendor has terminated that applicant as a customer or the vendor no longer participates in HEAP.

**Applies only to heating emergencies

The emergency benefit component has been designed to resolve energy crisis situations including weather-related and supply shortage emergencies and other household energy emergencies.

To be eligible for a HEAP emergency benefit, the applicant must be the customer of record. The term "customer of record" means a person or persons who have an account in their name with a home energy vendor and who reside in the dwelling for which they are requesting HEAP assistance.

The residence must be the applicant's primary home. However, if the applicant is temporarily absent from their primary home due to the lack of heat or unsafe conditions, the emergency assistance may still be granted.

To be eligible for an emergency benefit, the applicant household must also:

- Meet HEAP eligibility criteria. Households with at least one active Temporary Assistance recipient, Code A (NYS State Living Code A) SSI recipient, and/or Supplemental Nutrition Assistance Program (SNAP) recipient are categorically income eligible. A customer of record who is ineligible for regular HEAP benefits because they do not meet citizenship requirements may receive emergency HEAP benefits on behalf of members of the household who do meet citizenship requirements. AND

- Be currently without heating fuel or have an amount of heating fuel that is equal to or less than one-quarter of the household’s fuel tank (for oil, kerosene and propane) or have a heating fuel supply that will last less than 10 calendar days (for wood and coal, other) and be unable to obtain a delivery.

OR

- Have heat or heat-related utility service (primary heating source or electricity essential to operate the heating equipment) currently disconnected or terminated, or scheduled for disconnection or termination.
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OR

- Be in an emergency home heating situation that is deemed by the local social services department to be detrimental to the health or safety of household members if temporary emergency shelter or relocation is not provided.

AND

- Not have available liquid resources in an amount greater than $2,000 ($3,000 for households with a member age 60 or older) for households applying for heat, heat-related, or emergency relocation benefits. The following are considered liquid resources for HEAP:
  - Cash
  - Checking and/or savings account balances
  - Stocks/bonds, Time deposit certificates
  - IRA accounts, including remaining amounts from a closed out IRA
  - Lump sums from sale of property or insurance settlements and balances from any other lump sum not specifically excluded
  - 401(K) and other retirement accounts
  - Income tax refunds (except EITC payments) only after the 12 month exclusion period has expired
  - Any other available funds not specifically excluded

The following are not counted as resources for HEAP:

- Amounts designated for an allowable current monthly living expense such as food, shelter, employment-related expenses (transportation, child care, and other essential expenses), cost of one phone, either landline or cellular, utility and heating expenses

- Amount of penalties or fees incurred for early withdrawal of any countable resources

- Money earmarked for payment of the current year's property and/or school taxes for the primary residence

- One burial plot per household member

- One written pre-arranged burial agreement with a cash value not exceeding $1,500 per household member and interest on the burial account

- Account, such as PASS accounts, designated by the Social Security Administration as exempt from SSI resource limits
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➢ Real and personal property
➢ Equipment
➢ Automobiles and other vehicles
➢ Household furnishings
➢ Livestock
➢ Agent Orange settlements
➢ Nazi Restitution payments
➢ Attica Settlement payments
➢ College grants
➢ EITC payments
➢ Income tax refunds for the month of receipt and the following 12 months
➢ Loans (including college loans)
➢ Credit cards or advances from credit cards
➢ Individual Development Accounts (IDAs)
➢ Payments from reverse annuity mortgages
➢ Life insurance policies, including any cash value of such policies
➢ In addition, $3,000 is exempt for households applying for heating equipment
repair or replacement benefits

An emergency HEAP benefit for heating emergencies may only be issued when it is determined
that a regular HEAP benefit is either not available or has been previously exhausted, except that
a regular benefit to a heat included household that is otherwise eligible for a HEAP emergency
benefit may be issued at the same time as an emergency benefit provided that the crisis
component is open.

Applicants who have been determined eligible for a regular benefit, or who are in active receipt
of Temporary Assistance or SNAP benefits, and who have not moved, had a change in
household composition, or had a change in household income exceeding $200 may apply for a
heat or heat-related crisis benefit by phone.

The emergency HEAP benefit for an eligible household must be resolved within 18 hours of
application if the applicant's residence is in "life-threatening crisis" which is defined as without
heat or utility service to operate a heating source. If an eligible household faces imminent loss
(within 72 hours) of heat or utility service to operate a heating source, the crisis must be
resolved within 48 hours of application. Imminent loss of heat is defines as less than ¼ tank for

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oil, kerosene or propane or less than a 10 day supply for other deliverable fuels or heat related utility service scheduled for termination or disconnection within 72 hours.

If a Heating Equipment Repair and Replacement (HERR) or Disaster HERR program is operated, each local district, in designing its local certification network, must provide reasonable accommodations for disabled/ill and homebound individuals to apply for a HEAP heating equipment repair and/or replacement benefit. This may be accomplished at the discretion of the local district by a home visit or, if the applicant is physically able, by arranging transportation for the applicant to a site where HEAP applications are taken although exemptions may be granted in circumstances where an in-person application poses an undue hardship for an applicant. Authorized representatives may apply on behalf of disabled/ill individuals when a home visit or special transportation of the disabled/ill individual is not feasible.

Statutory References

2605(c)(1)(A)  ➔ Do you have additional eligibility requirements for: WEATHERIZATION

| eligibility | N/A | Yes | X | No |

➔ Do you use:

| Assets Test | X |
| Priority groups (Please list) | X |

➔ Are you using Department of Energy (DOE) Low Income Weatherization Assistance Program (LIWAP) rules to establish eligibility or to establish priority eligibility for households with certain characteristics?

| Yes | No |

➔ If yes, are there exceptions?

- Priority for households receiving LIHEAP assistance
- Priority for households that have high energy burdens
- Priority for households occupying state-assisted affordable housing

Statutory References

2605(b)(3) 2605(c)(3)(A)  ➔ Please check the outreach activities that you conduct that are designed to assure that eligible households are made aware of all LIHEAP assistance available:

| X | Provide intake service through home visits or by telephone for the physically infirm (i.e. elderly or disabled). |
| X | Place posters/flyers in local SSD's, Office of Aging, Social Security office, VA, etc. |
| X | Publish articles in local newspapers or broadcast media announcements |
| X | Include inserts in energy vendor billings to inform individuals of the availability of all types of LIHEAP assistance. |
| X | Make mass mailing to past recipients of LIHEAP. |
| X | Inform low income applicants of the availability of all types of LIHEAP assistance at application intake for other low-income programs. |

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| X | Execute interagency agreements with other low-income program offices to perform outreach to target groups. |
| X | Other (Please specify) |
| - | Toll free information hotline operated by NYS Office of Temporary and Disability Assistance and NYS Office for the Aging. |
| - | Information about the program and a printable application are available on the OTDA internet site when the program is open. |
| - | Identification of households potentially eligible for LIHEAP funded weatherization services and assessing the scope of need for identified households. |
| - | State and local resources dedicated to implementing mandated outreach plans and program dissemination activities. |
| - | Targeting efforts to provide program information and access to vulnerable households. |

Statutory References

2605(b)(4) ➔ Please describe how you will assure that LIHEAP is coordinated with similar and related programs. The description provided applies to all components unless specifically noted.

(Coordination)

HEAP activities will be coordinated with other low income programs administered by other State and local agencies. A HEAP Interagency Task Force provides a forum for developing the HEAP State Plan and coordinating energy-related programs. The Task Force includes: NYS OTDA; NYS Department of Public Service; NYS Energy Research and Development Authority; NYS Office for the Aging; NYS Homes and Community Renewal; Governor's Office; NYS Division of the Budget; and NYS Consumer Protection Board.

In addition, the NYS HEAP Block Grant Advisory Council, which is composed of representatives from State and local government, energy suppliers, and low income advocates, is consulted in the development of the HEAP State Plan and coordination of energy-related programs.

2605(b)(5) 2605(b)(2) 2605(b)(8A) ➔ The statute requires that there be no difference in the treatment of households eligible because of their income and those eligible because they receive benefits under TANF, Food Stamps, SSI, or certain means-tested veterans programs ("categorically eligible"). How do you ensure there is no difference when determining eligibility and benefit amounts? This applies to all components unless specifically noted below.

(Benefit Levels)

For regular and crisis benefits, New York State has adopted maximum income guidelines equal to the greater of 150% of the federal poverty level or 60% of the State's Median Income. No household at or below 110% of the federal poverty level will be denied access to any program component solely on the basis of income.

Non-income related eligibility criteria for each program component is applied uniformly to all applicant households.

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To limit administrative costs while maximizing HEAP accessibility and/or targeting benefits to
the lowest income households and households that contain a vulnerable member, the following
outreach and certification components will be utilized:

A) **Temporary Assistance Outreach Component**

As part of their outreach efforts and to minimize workload and associated
administrative costs, OTDA may authorize regular HEAP benefits through the
automatic payment process to Temporary Assistance (TA) recipients whose cases
are in active status at the time of the TA pull-down(s) and who meet all other HEAP
eligibility criteria.

B) **SNAP Outreach Component**

As part of their outreach efforts and to minimize workload and associated
administrative costs, OTDA may authorize regular HEAP benefits through the
automatic payment process to Supplemental Nutrition Assistance Program (SNAP)
recipients whose cases are in active status at the time of the SNAP pull-down(s) and
who meet all other HEAP eligibility criteria.

C) **Supplemental Security Income (SSI) Code A Outreach Component**

In New York City, the New York City Human Resources Administration may
automate the authorization of HEAP benefits to eligible New York City Code A SSI
households in active status at the time of the pull down.

D) **Mail-In Applications**

Applicants for regular benefits may apply by mail. Applicants who did not receive a
regular benefit in 2012-13 via the application process are required to provide
documentation and to be interviewed. Applicants may opt for an in person or phone
interview.

E) **Electronic Filing**

Applicants residing in the 57 local social services districts outside of New York City
may apply for HEAP online at www.myBenefits.gov
HEATING COMPONENT

2805(b)(5) Please check the variables you use to determine your benefit levels (check all that apply):

(Determination of benefits)

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>X</td>
<td>Income</td>
</tr>
<tr>
<td>X</td>
<td>Family (household) size</td>
</tr>
<tr>
<td>X</td>
<td>Home energy cost or need</td>
</tr>
<tr>
<td>X</td>
<td>Fuel type</td>
</tr>
<tr>
<td></td>
<td>Climate/region</td>
</tr>
<tr>
<td></td>
<td>Individual bill</td>
</tr>
<tr>
<td></td>
<td>Dwelling type</td>
</tr>
<tr>
<td>X</td>
<td>Energy burden (% of income spent on home energy)</td>
</tr>
<tr>
<td>X</td>
<td>Other (describe) Presence of a vulnerable individual (children under 6, individuals aged 60 or older and disabled individuals)</td>
</tr>
</tbody>
</table>

2805(b)(5) households
2605(c)(1)(B)

Describe how you will assure that the highest benefits go to households with the lowest incomes and the highest energy costs or needs in relation to income, taking into account family size.

Please describe benefit levels or attach a copy of your payment matrix

(Benefit Levels)

In accordance with 42 USC 8621(a), New York State's regular HEAP benefit structure assists households that pay a high proportion of household income for energy. As research has shown that heat included households consume less energy than households that pay directly for heat and are therefore, less likely to have a high home energy burden, higher benefit levels are provided to households that pay directly for heat than to heat included households. In addition, to target high burden households, higher benefits are provided to those households that have the lowest income.

REGULAR DIRECT HEATING COMPONENT

For households that pay a vendor directly for heat based on actual usage, base benefit amounts are established by fuel type, which recognizes the differential proportion of household income for energy expended by customers heating with fuels of varying price levels. Higher benefits are provided to those households that include a vulnerable individual and have the lowest income.
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Heater Benefit Levels:

Households heating with oil, kerosene or propane will be provided with a $600 benefit. In addition, these households will receive an additional $25 if the household's income is at or below Tier I income levels and will receive an additional $25 if one or more household members met the vulnerability criteria.

Households heating with wood, coal or other deliverable fuel types will be provided with a $500 benefit. In addition, these households will receive an additional $25 if the household's income is at or below Tier I income levels and will receive an additional $25 if one or more household members met the vulnerability criteria.

Households heating with natural gas or electricity will be provided with a $400 benefit. In addition, these households will receive an additional $25 if the household's income is at or below Tier I income levels and will receive an additional $25 if one or more household members met the vulnerability criteria.

New York State reserves the right to adjust both the base benefit amounts and the add on amounts to reflect changes in heating prices and changes in federal LiHEAP funding levels between the time the HEAP State Plan is submitted to the U.S. Department of Health and Human Services (U.S. DHHS) and the closing date of the 2013-14 HEAP season. New York State will notify U.S. DHHS in writing of any such benefit amount changes.

REGULAR HEAT INCLUDED COMPONENT

Households that are not directly responsible for the payment of their primary heating costs to a vendor but who make undesignated payments for heat as a portion of their rent and are in an eligible living arrangement other than one of the living arrangements listed below under "$1.00 Heat Included Benefit" will receive a benefit based on a two-tier payment structure. A household's tier is determined based on the household's gross monthly income taking into account household size.

Tier I households (gross monthly income at or below 130% of the federal poverty level), the lowest income grouping, will receive a heat included benefit of no less than $25. Tier II households (gross monthly income between 130% of the federal poverty level and 60% of the State Median Income) will receive a heat included benefit of no less than $20. In this manner, heat included households in the lowest income grouping, which generally pay higher percentage of their income for indirect heating costs, will receive a higher benefit than those heat included households in the higher income grouping (Tier II).

$1.00 Heat Included Benefit

To enhance participation and benefits for Supplemental Nutrition Assistance Program (SNAP) recipients, an annual regular HEAP benefit of $1.00 is available for income eligible households that make undesignated payments for heat in the form of rent in the following living arrangements:

- government subsidized housing with heat included in the rent;
- publicly operated or State-certified private nonprofit residential drug or alcoholic treatment facilities;

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- private nonprofit residential drug or alcoholic treatment facilities that are authorized as a SNAP retailer by the United States Department of Agriculture or are in receipt of a letter from the certifying State agency stating that the facility operates to further the goals of Title XIX;

- publicly operated or State-certified private nonprofit enriched housing;

- publicly operated or State-certified private nonprofit residential group living facilities serving no more than 16 residents;

- publicly operated or State-certified private nonprofit supervised or supportive living arrangements; and

- State-operated community residences

Households residing in these seven living arrangement categories are only eligible for a maximum annual HEAP regular benefit of $1.00 and are not eligible for emergency HEAP or any other benefit under HEAP, except that eligible households in government subsidized housing with heat included in the rent that pay a supplier directly for heat-related utility service may be eligible for a HEAP heat-related emergency benefit if such benefit is necessary to resolve the heat-related energy crisis of the household.

By Federal Supplemental Nutrition Assistance Program (SNAP) regulation, receipt of a HEAP benefit, regardless of the amount of the HEAP benefit, enables SNAP applicants or recipients to maximize the SNAP Standard Utility Allowance (SUA). Households receiving the $1.00 HEAP benefit who are also applicants or recipients of SNAP will receive the highest SNAP SUA. Using the highest allowable SUA in the SNAP benefit calculation may make an applicant eligible for SNAP who would not otherwise be eligible and may significantly increase SNAP benefits for many households. The annual $1.00 HEAP benefit will qualify the household for the maximum SNAP SUA for 12 months.

If the Federal Farm Bill requires an increase in the $1.00 HEAP benefit to enable New York State to continue to provide the highest SNAP SUA to applicants or recipients of SNAP, then New York State reserves the right to implement an increase to this benefit amount for the 2014-2015 HEAP program year.

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

[ ] If Yes, please describe [X] No
COOLING COMPONENT

► Please check the variables you use to determine your benefit levels (check all that apply):

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>X</td>
<td>Income</td>
</tr>
<tr>
<td>X</td>
<td>Family (household) size</td>
</tr>
<tr>
<td></td>
<td>Home energy cost or need</td>
</tr>
<tr>
<td></td>
<td>Fuel type</td>
</tr>
<tr>
<td></td>
<td>Climate/region</td>
</tr>
<tr>
<td></td>
<td>Individual bill</td>
</tr>
<tr>
<td></td>
<td>Dwelling type</td>
</tr>
<tr>
<td></td>
<td>Energy burden (% of income spent on home energy)</td>
</tr>
<tr>
<td></td>
<td>Energy need</td>
</tr>
<tr>
<td>X</td>
<td>Other (describe) - documented medical need for cooling</td>
</tr>
</tbody>
</table>

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

Cooling assistance will only be provided as in kind. See below

► Do you provide in-kind (e.g. fans) and/or other forms of benefits?

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>X</td>
<td>Yes, please describe</td>
</tr>
<tr>
<td></td>
<td>No</td>
</tr>
</tbody>
</table>

Installation of one air conditioner, or provision of a fan if an air conditioner cannot be installed, will be provided to eligible households that have provided medical documentation demonstrating that one or more household member(s) have a medical condition that is exacerbated by extreme heat. Only one air conditioning unit will be provided within a ten year period for any applicant.
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Statutory References

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

(Determination Of benefits)

CRISIS COMPONENT

➔ How do you handle crisis situations?

  X  Separate Component  Other (please explain)

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

  Amount to resolve crisis, up to maximum
  X  Other (please describe)

Benefits will be based on the type of heating or heat-related emergency. Participating vendors have agreed to make deliveries or to restore/suspend termination of gas or electric service for the following amounts:

<table>
<thead>
<tr>
<th>Crisis Benefit Levels</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Oil, kerosene, propane</td>
<td>$600</td>
</tr>
<tr>
<td>Wood, coal, other deliverable fuel</td>
<td>$500</td>
</tr>
<tr>
<td>Heat related domestic electricity</td>
<td>$160</td>
</tr>
<tr>
<td>Natural gas heat</td>
<td>$400</td>
</tr>
<tr>
<td>Natural gas heat and electricity</td>
<td>$560</td>
</tr>
<tr>
<td>Electric heat</td>
<td>$560</td>
</tr>
</tbody>
</table>

New York State reserves the right to adjust the above emergency benefit amounts to reflect changes in fuel prices and changes in federal LIHEAP funding levels between the time the HEAP State Plan is submitted to the U.S. Department of Health and Human Services (U.S. DHHS) and the closing date of the 2013-14 HEAP season. New York State will notify U.S. DHHS in writing of any such benefit amount changes.

Other Heat-Related Emergencies

- **Temporary Emergency Shelter or Relocation**
  
The maximum total benefit may not exceed $500 during the HEAP season.

- **Propane Installation/Reconnection**
  
The maximum total benefit may not exceed $500 during the HEAP season.
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- Heating Equipment Repair and Replacement

NYS will not operate a HEAP funded Heating Equipment Repair and Replacement Component for the 2013-14 HEAP season but reserves the right to operate such a component.

If such a component is operated during the 2013-14 HEAP season, benefits would be made available for the repair or replacement of inoperable or unsafe applicant owned essential primary heating equipment. "Applicant owned" is defined as holding the current deed or title to the premises, or having deeded life use of the premises. Applicants must reside full-time in the dwelling for which assistance is being requested and the dwelling must be the applicant’s primary residence. Households applying for heating equipment repair or replacement must meet all HEAP eligibility requirements and also cannot have available liquid resources in an amount equal to or greater than the cost of the repair or replacement. All applications for heating equipment repair or replacement must be made in person; mail-in or phone-in applications are not permitted for this component.

The maximum total benefit provided for replacement of essential primary heating equipment may not exceed $5,500. Eligibility is limited to one replacement per applicant in a ten year period. The maximum total benefit provided for repair of essential primary heating equipment may not exceed $3,000 in any one program year.

If a HEAP funded Heating Equipment Repair and Replacement Component is operated during the 2013-14 HEAP season, such component may be limited to the repair or replacement of essential primary heating equipment damaged due to natural or man-made disasters.

(Benefit Levels)

¬ Please indicate the maximum benefit for each type of crisis assistance offered.

<table>
<thead>
<tr>
<th>Heating</th>
<th>$600</th>
<th>Maximum benefit</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cooling</td>
<td></td>
<td>Maximum benefit</td>
</tr>
<tr>
<td>Year-round</td>
<td></td>
<td>Maximum benefit</td>
</tr>
</tbody>
</table>

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

<table>
<thead>
<tr>
<th></th>
<th>Yes, please describe</th>
<th>No</th>
</tr>
</thead>
</table>

In the event of weather-related emergencies and/or temporary fuel shortages, the local departments of social services are authorized to purchase an appropriate supply of safe, supplemental heating devices that meet local building codes and can be loaned to eligible households until such time as a delivery of the household’s primary heating fuel can be obtained. Provision of emergency shelter or emergency relocation is also an acceptable form of assistance when appropriate to resolve such household’s immediate energy needs until the weather improves sufficiently or a supply of heating fuel is obtained.

Statutory References
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2605(b)(5) WEATHERIZATION & OTHER ENERGY RELATED
2605(c)(1) HOME REPAIR AND IMPROVEMENTS
(B) & (D)

➔ What LIHEAP weatherization services/materials do you provide?
(Check all categories that apply)

<table>
<thead>
<tr>
<th>(Types of assistance)</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>X Weatherization needs assessments/audits</td>
<td></td>
</tr>
<tr>
<td>X Caulking, insulation, storm windows, etc.</td>
<td></td>
</tr>
<tr>
<td>X Furnace/heating system modifications/repairs</td>
<td></td>
</tr>
<tr>
<td>X Furnace replacement</td>
<td></td>
</tr>
<tr>
<td>X Cooling efficiency mods/repairs/replacement</td>
<td></td>
</tr>
<tr>
<td>X Other (please describe) Electric base load reduction measures, window repair/replacement where cost-justified, energy-related health and safety measures such as smoke detectors and ventilation.</td>
<td></td>
</tr>
</tbody>
</table>

(Benefit levels) ➔ Do you have a maximum LIHEAP weatherization benefit/expenditure per household

| Yes | X | No |

If yes, what is the maximum amount?
➔ Under what rules do you administer LIHEAP weatherization? (Check only one)

<table>
<thead>
<tr>
<th>(Types of rules)</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Entirely under LIHEAP (not DOE) rules</td>
<td></td>
</tr>
<tr>
<td>Entirely under DOE LIWAP rules</td>
<td></td>
</tr>
<tr>
<td>Mostly under LIHEAP rules with the following DOE LIWAP rule(s) where LIHEAP and LIWAP rules differ (Check all that apply):</td>
<td></td>
</tr>
<tr>
<td>Weatherize buildings if at least 66% of units (50% in 2- &amp; 4-unit buildings) are eligible units or will become eligible within 180 days</td>
<td></td>
</tr>
<tr>
<td>Weatherize shelters temporarily housing primarily low income persons (excluding nursing homes, prisons, and similar institutional care facilities).</td>
<td></td>
</tr>
<tr>
<td>Other (Please describe)</td>
<td></td>
</tr>
<tr>
<td>X Mostly under DOE LIWAP rules, with the following LIHEAP rule(s) where LIHEAP and LIWAP rules differ (Check all that apply.)</td>
<td></td>
</tr>
<tr>
<td>X Weatherization not subject to DOE LIWAP maximum statewide average cost per dwelling unit.</td>
<td></td>
</tr>
<tr>
<td>X Other (Please describe) Priority given to LIHEAP recipients; eligibility limited to households with incomes at or below 60% of State median income.</td>
<td></td>
</tr>
</tbody>
</table>
2605(b)(6) The state or tribe administers LIHEAP through the following local agencies:

<table>
<thead>
<tr>
<th>Agency designation</th>
</tr>
</thead>
<tbody>
<tr>
<td>X County SSD offices</td>
</tr>
<tr>
<td>X Community action agencies (weatherization component only)</td>
</tr>
<tr>
<td>Community action agencies (heating, cooling or crisis)</td>
</tr>
<tr>
<td>X Charitable organizations (weatherization component only)</td>
</tr>
<tr>
<td>Not applicable (i.e. state energy office)</td>
</tr>
<tr>
<td>Tribal office</td>
</tr>
<tr>
<td>X Other, describe Other county government offices administer weatherization in the counties.</td>
</tr>
</tbody>
</table>

→ Have you changed local administering agencies from last year?

| Yes | X | No |

If yes, please describe how you selected them.

→ What components are affected by the change?

2605(c)(1)(E) → Please describe any additional steps (other than those described elsewhere in this plan) that will be taken to target assistance to households with high home energy burdens. (This applies to all components. If all steps to target households with high home energy burdens are described elsewhere in the plan, no further information is required here.)

(Targeting of Assistance)
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Statutory References

2605(b)(7)  
(Energy Suppliers)  

Do you make payments directly to home energy suppliers?

<table>
<thead>
<tr>
<th></th>
<th>Yes</th>
<th>No</th>
<th>N/A</th>
</tr>
</thead>
<tbody>
<tr>
<td>Heating</td>
<td>X</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Cooling</td>
<td>X</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Crisis</td>
<td>X</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Regular and emergency HEAP payments are made directly to home energy suppliers on behalf of eligible households that pay directly for their energy costs. These payments are made primarily via check or electronic funds transfer through the New York State Office of the State Comptroller's central accounting system for all districts except New York City, and through New York City's payment system for NYC recipients.

If yes, are there exceptions?

[ ] Yes [ ] No

If yes, please describe

Local districts are authorized to issue two-party checks to home energy suppliers in certain circumstances.

Eligible households who cut their own wood may receive a direct payment if there is reasonable evidence to support that the household has a sufficient supply for the heating season. These households may also request the benefit be issued to the utility company for heat-related services.

2605(b)(7)(A)

If you make payments directly to home energy suppliers, how do you notify the client of the amount of assistance paid? (Please describe)

All applicants are provided with a notice advising of their eligibility and the amount paid on their behalf.

2605(b)(7)  
(B) & (C)

How do you make sure the home energy supplier performs what is required in this assurance? If vendor agreements are used, they may be attached. Indicate each component for which this description applies.

In New York, the term "home energy vendor" is defined as an individual or entity engaged in the primary business of selling electricity, oil, gas, wood, kerosene or any other fuel used for home energy in a residential dwelling. For the regular benefit component of HEAP the term "home energy vendor" also includes companies and/or landlords that have been approved by the New York State Public Service Commission (PSC) for submetering and/or billing and that have agreed to credit the HEAP benefit to the recipients usage.

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*Home energy vendor also includes those vendors that purchase and install air conditioning units under the cooling component

Each home energy vendor must sign a New York State HEAP vendor agreement to participate in both the regular and emergency components of HEAP. The vendor agreement requires the home energy vendor to commit to:

- charging HEAP recipients, in the normal billing process, the difference between the cost of the home energy and the amount of the HEAP Payment made;

- not adversely treating households receiving assistance from HEAP because of such assistance under applicable provisions of State law or public regulatory requirements; and

- not discriminating, either in costs of goods supplied or the services provided, against the household on whose behalf HEAP Payments are made.
Statutory References

2805(b)(8)(B)  Is there any difference in the way owners and renters are treated? If yes, please describe

<table>
<thead>
<tr>
<th>Service</th>
<th>Yes</th>
<th>X</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>Heating Assistance</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Cooling Assistance</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Crisis Assistance</td>
<td>Yes</td>
<td>X</td>
<td>No</td>
</tr>
<tr>
<td>Weatherization</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
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DISABILITY ASSISTANCE FY 2014

Statutory References

2605(b)(10)  ➔ How do you ensure good fiscal accounting and tracking of LIHEAP funds? (Please describe. Include a description of how you monitor fiscal activities.)

(Program, Fiscal Monitoring, And audit)

NYS OTDA utilizes fiscal and fund accounting procedures similar to those utilized by NYS OTDA and local social services districts in the administration of other income-tested assistance programs. Districts are provided with allocations for administration and for district payments and claims are monitored by OTDA fiscal staff to ensure that allocation levels are not exceeded. The NYS OTDA Welfare Management System (WMS) is used to monitor application activity and benefits authorized outside of NYC. NYC utilizes its own computer system to authorize and pay HEAP benefits, and NYC provides reports from its system to OTDA for review.

The use of LIHEAP funds suballocated to the NYS Homes and Community Renewal (HCR) and the New York State Office for the Aging (NYSOFA) is governed by a Cooperative Agreement which OTDA enters into with these agencies on an annual basis. The Cooperative Agreements require that HCR and NYSOFA transmit fiscal reports to OTDA on a quarterly basis that show the amount of LIHEAP funds obligated and expended by category of expenditure.

OTDA conducts periodic reviews of HCR’s administration of LIHEAP funded weatherization programs

➔ How do you monitor program activities? (Please be sure to Include a description of how you monitor eligibility and benefit determination.)

At a minimum, OTDA conducts annual on-site monitoring reviews of at least ten local social services districts. Districts will be chosen for review based upon factors that include, but are not limited to, the number of application approvals during the immediately preceding HEAP program year and non-compliance in resolving issues identified in previous monitoring reviews. Case reviews will be conducted as part of the monitoring to review eligibility and benefit determinations.

OTDA conducts audits of a sample of participating HEAP vendors to ensure compliance with the terms and conditions of the HEAP vendor agreement.

➔ How is your LIHEAP program audited?

Under the Single Audit Act?  X Yes  No

If not, please describe:

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For States and Territories:

→ Is there an annual audit of local administering agencies?

| X | Yes | No |

If not, please explain

Statutory References

2605(b)(12) → How did you get timely and meaningful public Participation in the development of the plan? (Please describe.)

(Timely and Meaningful Public Participation)

To solicit input into the development of the proposed 2013-14 HEAP State Plan, public comments were solicited and accepted through close of business, February 15, 2013

Meetings of the NYS HEAP Block Grant Advisory Council and Interagency Task Force were held on August 1, 2013 and on August 2, 2013, respectively, to solicit input on the proposed State Plan

2605(a)(2) → Did you conduct public hearings on the proposed use and distribution of your LIHEAP funds? When and where?

| X | Yes | No |

(Public Hearings) *(Not required for Tribes and tribal organizations)*

Two public hearings on the proposed state plan were held and comments on the plan were accepted through August 21, 2013. Hearings were held in New York City on August 12, 2013 and in Albany, New York on August 15, 2013
GRANTEE: NEW YORK STATE OFFICE OF TEMPORARY AND DISABILITY ASSISTANCE FFY 2014

Statutory References

2805(b)(13)  ➔ Describe your fair hearing procedures for households whose applications are denied or not acted on in a timely manner. When are applicants informed of these rights?

(Fair Hearings)

➔ Denials

➔ Applications Not Acted On In a Timely Manner

Individuals whose applications for HEAP benefits are denied are afforded an opportunity for a fair hearing conducted by NYS OTDA. Households whose applications for weatherization assistance have been denied are provided an opportunity to appeal before the NYS HCR.

Applications Not Acted On In a Timely Manner

Local social services districts are required to make determinations and provide notification of eligibility decisions on applications for regular HEAP benefits within 30 business days after the filing of such application or within 30 business days of program opening for applications received during the early outreach period. Applications which are incomplete may be pending for up to 10 business days and the pending period is not counted in the 30 business day timeframe for providing notification.

Local social services districts are required to expedite determinations of eligibility for emergency situations so as to protect the health and safety of the applicant household. The emergency HEAP benefit for an eligible household must be used to resolve the emergency situation within 18 hours of application if the applicants residence is in a “life threatening crisis” which is defined as without heat or utility service to operate a heating source. If an eligible household faces imminent loss (within 72 hours) of heat or utility service to operate a heating source, has less than ½ tank for oil, kerosene or propane or less than a 10 day supply for other deliverable fuels.

A “life threatening” energy emergency is defined as when an applicant’s residence is currently without heat or utility service to operate a heating source. Districts must utilize HEAP to resolve an eligible household’s “life threatening” energy emergency within 18 hours of application. An energy emergency “crisis” is when a household is in imminent danger of losing heat or utility service to operate a heating source. Imminent loss of heat or utility service to operate a heating source for all other eligible households must be resolved within 48 hours.

Individuals whose applications for HEAP benefits are not acted upon within the established timeframes are afforded an opportunity for a fair hearing conducted by NYS OTDA.

Applicants are advised of fair hearing rights on the timeliness of the eligibility decision at the time of the application by the provision of the “Application Rights” language in the application instructions. Additionally, the “Notice of Eligibility Decision” provided to all applicants, both approved and denied, contains fair hearing rights language.

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Statutory References

2605(b)(15) For States and Puerto Rico only (not applicable to Tribes and tribal organizations, or to territories whose annual regular LIHEAP allotments are $200,000 or less):

→ Does the State agency that administers the following LIHEAP component also administer the State's welfare program?

(Alternate Outreach And intake)

Heating Assistance

X Yes  No

If yes, describe alternate process for outreach and intake:

As with other income-tested assistance programs administered by the NYS Office of Temporary and Disability Assistance (OTDA), HEAP is State supervised/locally administered with 58 local social services districts (SSD) designated as the lead local agencies for outreach, certification and payment. Prior to program start-up, each SSD must establish a local certification network that provides for an alternative non-SSD site(s) for a reasonable share of outreach and intake for regular and emergency HEAP assistance. The SSD may contract with other State or local government entities or community-based organizations to fulfill this mandate. Examples of community-based organizations include not-for-profit neighborhood-based organizations, local offices for the aging and community action agencies.

Cooling Assistance

X Yes  No

If yes, describe alternate process for outreach and intake:

As with other income-tested assistance programs administered by the NYS Office of Temporary and Disability Assistance (OTDA), HEAP is State supervised/locally administered with 58 local social services districts (SSD) designated as the lead local agencies for outreach, certification and payment. Prior to program start-up, each SSD must establish a local certification network that provides for an alternative non-SSD site(s) for a reasonable share of outreach and intake for regular and emergency HEAP assistance, as well as for cooling assistance. The SSD may contract with other State or local government entities or community-based organizations to fulfill this mandate. Examples of community-based organizations include not-for-profit neighborhood-based organizations, local offices for the aging and community action agencies.

Crisis Assistance

X Yes  No

If yes, describe alternate process for outreach and intake:

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As with other income-tested assistance programs administered by the NYS OTDA, HEAP is
State supervised/locally administered with 58 local social services departments (SSD)
designated as the lead local agencies for outreach, certification and payment. Prior to program
start-up, each SSD must establish a local certification network that provides for an alternative
non-SSD site(s) for a reasonable share of outreach and intake for regular and emergency HEAP
assistance. The SSD may contract with other State or local government entities or community-
based organizations to fulfill this mandate. Examples of community-based organizations include
not-for-profit neighborhood-based organizations, local offices for the aging and community
action agencies.

Statutory References

2805(b)(16) ➔ Do you use LIHEAP funds to provide services that encourage and
enable households to reduce their home energy needs and thereby
the need for energy assistance? (This assurance refers to activities
such as needs assessments, counseling, and assistance with energy
vendors)

|   | Yes | X  | No |

If yes, please describe these activities

If yes, how do you ensure that you don't use more than 5% (statutory
ceiling) of your LIHEAP funds for these activities?
GRANTEE: NEW YORK STATE OFFICE OF TEMPORARY AND DISABILITY ASSISTANCE FFY 2014

Statutory References

2607A (Leveraging)

Please describe leveraging activities planned for the fiscal year. (This entry is optional.) Complete this entry if you plan to apply for LIHEAP leveraging incentive funds and to include in your leveraging report resources/benefits provided to low income households this fiscal year under criterion (iii) in 45 CFR 96.87(d)(2). Provide the following information for each:
1. Identify and describe each resource/benefit;
2. Identify the source(s) of each resource; and
3. Describe the integration/coordination of each resource/benefit with the LIHEAP program, consistent with 1 or more of conditions A-H in 45 CFR 96.87(d)(2)(iii)

New York State has developed a variety of leveraged resources which meet the basic criteria of the LIHEAP leveraging incentive program. The following State and locally funded resources/benefits are provided to HEAP eligible households in coordination, cooperation and conjunction with the 2013-14 (FFY 2014) HEAP program.

- Each year, part of NYS’s LIHEAP appropriation is utilized by the NYS HCR to provide weatherization services to HEAP eligible households through the Weatherization Assistance Program (WAP). The WAP program is able to leverage additional weatherization services for each eligible household as a result of mandated landlord contributions above and beyond LIHEAP funding earmarked for the household. This additional private funding, which allows the purchase, delivery and/or installation of weatherization material, is a countable leveraged resource. This resource is countable under either criterion (ii) or (iii) as specified in 45 CFR 96.87(d)(2)

- The NYS Energy Research and Development Authority (NYSERDA) administer low income weatherization assistance programs funded through utility system benefit charges. These charges are collected via utility bills

- Federal guidelines provide that State cash resources that are used in any base period for cash benefits to or on behalf of HEAP benefit recipients for heating, cooling, energy crisis or weatherization assistance, including payments towards recipient households' home energy costs, are countable as leveraged resources. New York State, as part of its fully State and locally funded Safety Net Assistance (SNA) program, directly provides households responsible for paying heating costs with a basic fuel allowance each month. In addition, all SNA recipient households are given a home energy allowance and a supplemental home energy allowance which, by definition, are provided to eligible households to cover increases in the cost of energy. These same benefits are also provided to Temporary Assistance for Needy Families (TANF) recipients.

In addition, New York State Social Services Law section 131-s provides for the payment of up to four months of utility arrearages to eligible households in order to prevent termination of utility service. Such payments on behalf of applicants are funded through the SNA and Emergency Assistance to Adults (EAA) programs, which are entirely State and locally funded. Ineligibility for New York’s LIHEAP program or denial of LIHEAP assistance in the base period because of the unavailability of LIHEAP funds is necessary to receive assistance from these resources (45 CFR 96.87(d)(2)(iii)(C))

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To the extent that these payments are made on behalf of HEAP eligible households, NYS considers them leveraged resources.

These resources are provided to SNA/EAA/LIHEAP-eligible households and are supplements and/or alternatives to the benefits provided by or through New York’s LIHEAP program, and are provided outside the LIHEAP program. The resource is integrated and coordinated with New York’s LIHEAP program in the following way:

New York State has developed a wholly interactive process to assure that the energy-related needs of SNA recipients are met. During the period when New York’s LIHEAP program is operational, local social services district staff responsible for coordinating the provision of LIHEAP benefits to SNA recipients and for authorizing this resource or benefit are one and the same. The local social services district case worker(s) assigned to each individual SNA recipient are responsible for addressing the individual household’s home energy needs. Through access to New York’s Welfare Management System (WMS), all case workers are able to determine, at any point in time, all LIHEAP and non-LIHEAP benefit payments issued to each individual case. In addition, the WMS computer system that is used to authorize and track payments contains case specific historical, demographic and income information, all of which are readily available to the caseworker by simple system inquiry. Because of this comprehensive system access capability, the documentation of LIHEAP eligibility and the amount of assistance received or to be received by the individual/case is always known and is a system documented fact before, during and after assistance is provided to each household to be served by the resource.

- All Public Service Commission (PSC) regulated utilities in NYS operate non-public funded fuel funds to assist their service territory population with payments of energy bills. These resources are targeted to HEAP-eligible households that have exhausted their HEAP eligibility or are ineligible because of the unavailability of LIHEAP funding. As such, this resource meets the integration/coordination requirement as contained in 45 CFR 96 87(d)(2)(iii)(C).

- New York has exempted the collection of sales taxes from Temporary Assistance recipients whose ongoing utility/fuel bills are restricted and paid by the local department of social services. OTDA was instrumental in pursuing and obtaining this exemption several years ago. The purchasing power of these TA recipients is materially enhanced by the fact that they do not have to pay any sales tax. This resource meets the countable resource criteria as outlined in 45 CFR 96 87(d)(2)(i).

- Several New York utility companies have recently implemented low-income customer assistance plans. The plans consist of two components: rate moderation and uncollectible initiatives, including a negotiated percentage of income plan coupled with an arrearage forgiveness arrangement. The plan is a product of extensive discussions among PSC staff, utility companies, the NYS Consumer Protection Board, OTDA, the Public Utility Law Project, and Multiple Interveners. To the extent that these leveraged resources are quantifiable, NYS intends to include them in our application for Leveraging Incentive Funds. Where New York’s LIHEAP program had an active substantive role in developing and/or acquiring the resource/benefits from home energy vendors, an effort will also be made to quantify and submit any such activity as leveraged resources for New York State HEAP-eligible households. This resource is a direct result of HEAP staff.
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involvement in negotiations and regulation development and meets the countable resource criteria as outlined in 45 CFR 96.87(d)(2)(i).

- New York State LIHEAP officials, in conjunction with various local social services districts, the NYS Public Service Commission and the National Fuel Gas Distribution Corporation have established the Temporary Assistance Cooperative for Energy (PACE) program. PACE is a natural gas aggregation program for certain Temporary Assistance recipients in Erie, Chautauqua and Niagara Counties in New York State. The program's objective is to provide the benefits of competition to low-income, payment-troubled customers by offering the opportunity to reduce energy costs through aggregation. This resource(s) meets the countable resource criteria as outlined in 45 CFR 96.87(d)(2)(i).

- OTDA has established a HEAP Fuel Buying Component in New York State. The purpose of this component is to expand the buying power of LIHEAP dollars by obtaining a lower than retail price for HEAP purchased oil, kerosene and propane. This discounted price materially enhances the purchasing power of LIHEAP eligible households. This resource meets the countable resource criteria as outlined in 45 CMR 96.87(d)(2)(i).

* Leveraged resources/benefits that are counted under criterion (ii) in 45 CFR 96.87(d)(2) must be identified and described in the grantee's LIHEAP plan and distributed as indicated in the plan. In addition, leveraging resources/benefits that are counted under criterion (i) must be carried out under one or more components of the grantee's regular LIHEAP program.

Statutory References

2005(b) ➔ Please describe performance goals and measures planned for the fiscal year. (This entry is optional.)

(Performance Goals and Measures)
GRANTEE: NEW YORK STATE OFFICE OF TEMPORARY AND
DISABILITY ASSISTANCE FFY 2014

ADDITIONAL CERTIFICATIONS AND REQUIREMENTS

Attached are additional certifications required as follows:

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

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

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

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

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

* Though not a part of this application, the report on funds to be carried over or available for reallocation as required by section 2607(a) for the preceding year must be submitted by August 1 of each year. A grant award for the current fiscal year may not be made until the carryover/reallotment report is received. The approval for the collection of information contained in the LIHEAP Carryover and Reallotment Report is covered by OMB approval number 0970-0106
2013-14 NEW YORK STATE HEAP PLAN

CERTIFICATION REGARDING LOBBYING

Certification for Contracts, Grants, Loans, and Cooperative Agreements

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

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

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

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

Statement for Loan Guarantees and Loan Insurance:

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

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

[Signature]

GOVERNOR

Title

STATE OF NEW YORK

Organization
CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS

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

Instructions for Certification

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

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

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

************

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

(1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:
   (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any Federal department or agency;
   (b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes; or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
   (c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
   (d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

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

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

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

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

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

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

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

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

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

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

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

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

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

(2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.
Certification Regarding Drug-Free Workplace Requirements (Instructions for Certification)

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

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

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

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

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

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

7. If the workplace identified to the agency changes during the performance of the grant, the grantee shall inform the agency of the change(s), if it previously identified the workplaces in question (see paragraph five).
8. Definitions of terms in the Nonprocurement Suspension and Debarment common rule and Drug-Free Workplace common rule apply to this certification. Grantees' attention is called, in particular, to the following definitions from these rules:

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

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

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

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

Certification Regarding Drug-Free Workplace Requirements

Alternate I. (Grantees Other Than Individuals)

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

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an ongoing drug-free awareness program to inform employees about --
(1) The dangers of drug abuse in the workplace;

(2) The grantee’s policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency in writing, within ten calendar days after receiving notice under paragraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under paragraph (d)(2), with respect to any employee who is so convicted:

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f).
(B) The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

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

Check if there are workplaces on file that are not identified here. Alternate II. (Grantees Who Are Individuals)

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

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

[55 FR 21690, 21702, May 25, 1990]
ATTACHMENT 3
SAMPLE PROGRAM INTEGRITY ASSESSMENT SUPPLEMENT TEMPLATE
Low Income Home Energy Assistance Program (LIHEAP)

ABSTRACT:
HHS is requiring further detail from Grantees on their FY2014 plans for preventing and detecting fraud, abuse, and improper payments. HHS is also requiring that Grantees highlight and describe all elements of this FY2014 plan which represent improvements or changes to the Grantees' FY2014 plan for preventing and detecting fraud, abuse and improper payment prevention.

Instructions: Please provide full descriptions of the Grantee’s plans and strategy for each area, and attach/reference excerpts from relevant policy documents for each question/column. Responses must explicitly explain whether any changes are planned for the new FY.

<table>
<thead>
<tr>
<th>State, Tribe or Territory (and grant official): New York State</th>
<th>Date/Fiscal Year: 2013-14</th>
</tr>
</thead>
</table>

## RECENT AUDIT FINDINGS

<table>
<thead>
<tr>
<th>Description</th>
<th>Description</th>
<th>Description</th>
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</thead>
<tbody>
<tr>
<td>Describe any audit findings of material weaknesses and reportable conditions, questioned costs and other findings cited in FY2013 or the prior three years, in annual audits, Grantee monitoring assessments, Inspector General reviews, or other Government Agency reviews of LIHEAP agency finances.</td>
<td>Please describe whether the cited audit findings or relevant operations have been resolved or corrected. If not, please describe the plan and timeline for doing so in FY2014.</td>
<td>If there is no plan in place, please explain why not.</td>
</tr>
</tbody>
</table>

During FFY 2013, OTDA completed reviews of 34 LIHEAP vendors. OTDA found 59% (20) to be in full compliance of the terms of the Vendor Agreement. OTDA found that 35% (12) of vendors failed to charge their HEAP customers at or below the contract price for the commodity delivered; which is the pricing formula stipulated in the contract. OTDA found 6% (2) of vendors failed to make timely deliveries. Each vendor which overcharged or short delivered LIHEAP clients was required to issue a credit to the individual customer’s account and to also make account adjustments to other LIHEAP clients in their customer base and notify each customer individually in writing. In addition, they were required to submit a Corrective Action Plan to ensure that OTDA LIHEAP pricing and delivery timeframe policies and NYS Department of Agriculture and Markets policies for measurement for quantity of...
New York State's LIHEAP program is audited annually under the Single Audit Act. No Single Audit findings of material weaknesses, reportable conditions of questioned costs were identified for FFY2012 for the prior three years.

OTDA conducts annual on-site monitoring reviews of at least ten local social services districts. No findings of material weaknesses, reportable conditions of questioned costs were identified for FFY 2012 or the prior three years.

Fuel wood would be adhered to in the future.

New York State will implement stronger case supervisory review guidelines to prevent and deter worker fraud.

According to the Paperwork Reduction Act Of 1995 (Pub. L. 104-13), public reporting burden for this collection of information is estimated to average 1 hours per response, including the time for reviewing instructions, gathering and maintaining the data needed, and reviewing the collection of information.

An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.

### COMPLIANCE MONITORING

| Describe the Grantee’s FY 2014 strategies that will continue in FY 2014 for monitoring compliance with State and Federal LIHEAP policies and procedures by the Grantee and local administering agencies. | Please highlight any strategies for compliance monitoring from your plan which will be newly implemented as of FY 2014. | If you don’t have a firm compliance monitoring system in place for FY 2014, please describe how the State is verifying that LIHEAP policy and procedures are being followed. |
| OTDA conducts annual on-site reviews of at least ten local social services districts to monitor compliance with State and Federal LIHEAP policies and procedures. Districts are chosen for review based upon factors that include, but are not limited to, the number of application approvals during the immediately preceding HEAP program year and non-compliance in resolving issues identified in previous monitoring reviews. | N/A. A solving methodology, with a schedule for regular monitoring and a more effective monitoring tool to gather information. | Necessary outcomes from these systems and strategies. |
continue to review a sample of LIHEAP vendors to ensure compliance with the terms and conditions of the New York State LIHEAP Vendor Agreement.

NYS’s LIHEAP program is audited under the Single Audit Act. An annual audit of local administering agencies is conducted.

OTDA conducts periodic reviews of the New York State Division of Homes and Community Renewal’s administration of LIHEAP funded weatherization programs.

<table>
<thead>
<tr>
<th>FRAUD REPORTING MECHANISMS</th>
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</thead>
<tbody>
<tr>
<td><strong>For FY 2013 activities continuing</strong></td>
</tr>
<tr>
<td>In FY 2014, please describe all (a) mechanisms available to the public for reporting cases of suspected LIHEAP fraud, waste or abuse. [These may include telephone hotlines, websites, email addresses, etc.]. (b) strategies for advertising these resources.</td>
</tr>
<tr>
<td>Please highlight any tools or mechanisms from your plan which will be newly implemented in FY 2014, and the timeline for that implementation.</td>
</tr>
<tr>
<td>If you don’t have any tools or mechanisms available to the public to prevent fraud or improper payments, please describe your plan for involving all citizens and stakeholders involved with your program in detecting fraud.</td>
</tr>
<tr>
<td>Necessary outcomes of these strategies and systems</td>
</tr>
</tbody>
</table>

| OTDA has a Reporting Welfare Fraud form that is accessible from the OTDA internet site which allows the public to report suspected instances of welfare fraud and abuse. Once submitted, the information is automatically matched to a database of recipients to determine if the individual about whom the fraud allegation was made is known to the Welfare Management System |
| N/A |
| N/A |

| Clear lines of communication for citizens, grantees, clients, and employees to report potential fraud of financial programs, payments, to state administrations. |
Those individuals that do not match are flagged for review by OTDA Program Integrity staff, who then determines if the allegation should be referred to the local district for investigation. The local district investigators, in turn, are able to access the system to review the fraud allegation and enter the results of the investigation directly into the system. System-generated and ad hoc reporting capabilities allow Program Integrity and local district staff to track and report the results of the fraud allegation submissions and subsequent investigations.

The public may also report fraud directly to the Local Social Service Fraud Units as well as through hotlines or websites that certain districts have.

In addition, the NYS Welfare Inspector General's Office has a fraud reporting hotline.
## VERIFYING APPLICANT IDENTITIES

<table>
<thead>
<tr>
<th>Describe all FY 2013 Grantee policies continuing in FY 2014 for how identities of applicants and household members are verified.</th>
<th>Please highlight any policy or strategy from your plan which will be newly implemented in FY 2014.</th>
<th>If you don't have a system in place for verifying applicant's identities, please explain why and how the Grantee is ensuring that only authentic and eligible applicants are receiving benefits.</th>
<th>Necessary outcomes from these systems and strategies</th>
</tr>
</thead>
</table>
| Identity must be documented for each LIHEAP household member at the point of initial application with one of the following:  
- Driver’s license  
- Birth certificate  
- Baptismal certificate  
- School records  
- Collateral contact with landlords  
- Social Security card  
- Marriage certificate  
- Passport  
New York State requires SSNs for all household members applying for HEAP. All SSNs are verified with the Social Security Administration (SSA) for validity  
NYS’s Welfare Management System (WMS) performs an electronic clearance process for all new applicants to provide local district workers with information about the applicant’s current and past involvement as an applicant or recipient of assistance. Search criteria consists of matching name, gender, date of birth, Social Security number and Client Identification Number (CIN) (if previously assigned). Rigid controls and edits have been established to ensure that each applicant has only one CIN and that the demographic information associated with that applicant and CIN is accurate. | N/A | Income and energy supply data that allow program benefits to be directed to eligible individuals.
<table>
<thead>
<tr>
<th>SOCIAL SECURITY NUMBER REQUESTS</th>
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</thead>
<tbody>
<tr>
<td>Describe the Grantee's FY 2014 policy in regards to requiring Social Security Numbers from applicants and/or household members applying for LIHEAP benefits.</td>
</tr>
<tr>
<td>Please describe whether the State's policy for requiring or not requiring Social Security numbers is new as of FY2014, or remaining the same.</td>
</tr>
<tr>
<td>If the Grantee is not requiring Social Security Numbers of LIHEAP applicants and/or household members, please explain what supplementary measures are being employed to prevent fraud.</td>
</tr>
<tr>
<td>Necessary outcomes from these systems and strategies.</td>
</tr>
<tr>
<td>For FFY 2014, New York State will continue to require Social Security numbers (SSNs) for all household members applying for HEAP.</td>
</tr>
<tr>
<td>All SSNs are verified with the Social Security Administration (SSA) for validity.</td>
</tr>
<tr>
<td>N/A</td>
</tr>
<tr>
<td>All valid household members are reported for correct benefit determination.</td>
</tr>
<tr>
<td>SSN Validation: Household members applying for HEAP with SSNs present undergo a batch processing activity known as SSN validation whereby WMS sends SSNs with associated demographic data to the Social Security Administration (SSA) for comparison. If the SSN and demographic data that is associated with an individual on WMS matches the information on file with the SSA, then that individual's SSN Code is changed to '8' (SSN validated) in WMS. If the SSN is not validated by SSA, the SSN Code is changed to a value to indicate the reason the SSN was not validated. SSN validation occurs on a weekly basis and again on a monthly basis for a recheck regardless of their existing validation code.</td>
</tr>
</tbody>
</table>

| SSA Death Match: Household members applying for HEAP with SSNs present are part of a monthly match, whereby WMS sends to SSA individuals with SSNs present; and, if SSA records indicate that that individual has been reported as deceased, for Temporary Assistance (TA) and Supplemental Nutrition Assistance Program (SNAP) cases receiving HEAP, single-individual cases are automatically closed and multi-individual cases are reported to local districts for appropriate action (i.e., deletion of the... | N/A | Use of all available database systems to make final eligibility determination. |
deceased individual and possible grant recalculation)

**TA/SNAP Prison Match:** On a monthly basis, TA and SNAP individuals (who may also be in receipt of HEAP benefits) are matched with New York State Division of Criminal Justice Services (DCJS) and New York State Division of Correctional Services (DOCS) databases to determine if those individuals are currently incarcerated. If a match is found, a monthly auto-dose process occurs for single-individual cases, closing their TA and/or SNAP case and their corresponding categorical income eligibility for HEAP. Districts are notified of all cases closed as part of this process. State staff from OTDA’s Office of Audit and Quality Improvement (A&Q), receive lists of multi-person cases and refer these cases to local districts for investigation.

### VERIFYING APPLICANT INCOME

<table>
<thead>
<tr>
<th>Describe how the Grantee or designee used State Directories of new hires or similar systems to confirm income eligibility in FY 2013 and continuing in FY 2014.</th>
<th>Please highlight any policies or strategies for using new hire directories which will be newly implemented in FY 2014.</th>
<th>If the Grantee won’t be using new hire directories to verify applicant and household member incomes, how will the Grantee be verifying the income information?</th>
<th>Necessary outcomes from these systems and strategies:</th>
</tr>
</thead>
<tbody>
<tr>
<td>New York State did not use State directories of new hires or similar systems to confirm income eligibility for LIHEAP in FY 2013 and does not plan to do so in FY 2014. The data in such systems is not real-time, and therefore, does not provide New York State with the ability to correctly confirm income eligibility at the point in time when an applicant applies for what is, for the vast majority of New York State’s HEAP recipients, a one-time per year HEAP benefit.</td>
<td>New York State will verify applicant and household member incomes in FFY 2014 for households not in receipt of recurring TA, SNAP or Code A SSI in accordance with the procedures in the New York State HEAP Manual. Applicants defined as “new” (did not receive HEAP in previous year through the application process, or moved to a different county since last year’s application) will be required to provide paystubs, award letters or other forms of income documentation. Self-</td>
<td></td>
<td>Effective income recertification achieved through coordination across program lines</td>
</tr>
</tbody>
</table>
employment income may be documented with the most recently filed itemized federal tax forms or by providing documentation of funds received and expenses for the three months prior to the month of application.

Returning applicants will be required to provide documentation of earned income (paystubs, employer statements, collateral contact, or other acceptable forms of written documentation, and self-employment income as described above) and must declare all other income sources. Non-earned income amounts are compared against the previous year to determine if there have been changes that now require documentation.

NY implemented a real time data match with the NYS Department of Labor to obtain UIB data.
### PRIVACY-PROTECTION AND CONFIDENTIALITY

<table>
<thead>
<tr>
<th>Describe the financial and operating controls in place in FY 2013 that will continue in FY 2014 to protect client information against improper use or disclosure.</th>
<th>Please highlight any controls or strategies from your plan which will be newly implemented as of FY 2014.</th>
<th>If you don’t have relevant physical or operational controls in place to ensure the security and confidentiality of private information disclosed by applicants, please explain why.</th>
<th>Necessary outcomes from these systems and strategies</th>
</tr>
</thead>
</table>
| Access to HEAP case Information and issuance of HEAP payments is limited to specific staff members and data entry terminals through the Terminal Transaction Security System (TTSS), a sub-system of WMS. TTSS is the security system that controls and monitors access to State legacy systems/centralized data base information on a need-to-know basis. All system users are assigned User IDs which allow limited access to HEAP information; and depending on functions assigned that User ID, may allow the ability to issue HEAP payments. TTSS manages day-to-day security-related data and activities needed to meet user access requirements by applying and adhering to the shared security mandate of granting access permissions and entitlements based on the fundamental principle of least privilege, i.e., granting the minimum access required to perform one’s job duties when requesting, creating and managing user accounts and permissions. | The stringent controls in place will be continued in FY 2014.  
**Confidentiality**  
All personally identifying information about a HEAP applicant or recipient is confidential and may be disclosed only for purposes of investigating or prosecuting suspected fraud or abuse, in cooperation with Federal or State authorities regarding HEAP audits or investigations, or with the written consent of the applicant or recipient. | OTDA will reinforce the Idss’ the confidentiality and information security rules outlined in OTDA 10-LCM-17.  
Local district management must also assure that all individuals with access to personal, private and sensitive information understand the laws and policies related to its use, and receive training on the proper use, handling and safeguarding of such data. Training requirements can be met through the completion of the OTDA Information Security Awareness Training (ISAT) course available on Training Space (www.trainingspace.org), the Cyber Security Awareness Training course available through the NYS Governor’s Office of Employee Relations (GOER) (www.goer.state.ny.us/Training_Development/NYS-Learn/index.cfm), or through a locally provided equivalent provided that records related to training completion are retained for review and auditing purposes. Additional specific training requirements related to access to unique specific data, such as information provided by the Internal Revenue Service and Social Security Administration, may also apply, along with the requirement to sign Acknowledgement of Confidentiality Agreements.  
Local district management must assure proper |  |

Clear and secure methods that maintain confidentiality and safeguard the private information of applicants.
account and access management practices are strictly followed by local administrators and staff. Access must be limited to only those individuals whose job duties require it, and promptly disabled/retracted when such access is no longer warranted – i.e. the individual leaves the agency or their job functions change.

<table>
<thead>
<tr>
<th>LIHEAP BENEFITS POLICY</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Describe FY 2013 Grantee policies continuing in FY 2014 for protecting against fraud when making payments, or providing benefits to energy vendors on behalf of clients.</strong></td>
</tr>
<tr>
<td>Please highlight any fraud prevention efforts relating to making payments or providing benefits which will be newly implemented in FY 2014.</td>
</tr>
<tr>
<td>If the Grantee doesn't have policy in place to protect against improper payments when making payments or providing benefits on behalf of clients, what supplementary steps is the Grantee taking to ensure program integrity.</td>
</tr>
<tr>
<td>Necessary outcomes from these systems and strategies.</td>
</tr>
<tr>
<td>To ensure accountability and to protect against internal fraudulent transactions, WMS has in place a system to track the User ID, Date, Time and Terminal used by individual workers who may inquire into or enter data, including the issuance of HEAP benefits, into the WMS database. In instances of suspected fraud or abuse of the system, reports can be generated to identify individuals who may attempt to perform such unwarranted transactions. Additionally, all transactions generate a &quot;tagged user&quot; through WMS' Local Data Feedback (LDF) process to identify for local district management staff, the origin of any transactions performed on the</td>
</tr>
<tr>
<td>The stringent controls in place will be continued in FFY 2014</td>
</tr>
<tr>
<td>Authorized energy vendors are receiving payments on behalf of LIHEAP eligible clients</td>
</tr>
</tbody>
</table>
System

WMS has in place numerous online and batch processing edits to prevent the accidental or purposeful issuance of duplicate HEAP benefits. Only one regular HEAP benefit (Pay Type H) may be issued per case during each HEAP benefit year and, additionally, the Benefit Issuance and Control Subsystem (BICS) contains edits and controls to prevent duplicate issuances for various other HEAP single issue payment types. Additionally, WMS edits ensure that payments authorized must match stored budgets contained in its Automated Budget and Eligibility Logic (ABEL) budgeting subsystem.

During FFY 2014 OTDA will continue to review a sample of LIHEAP vendors to ensure compliance with the terms and conditions of the New York State LIHEAP Vendor Agreement.

Notices issued to recipients contain information on the amount paid and the vendor name.

NYS policy required two levels of review on all applications unless the district has a Case Supervisory Review Plan approved by OTDA.
# PROTOCOLS FOR UNREGULATED ENERGY VENDORS

<table>
<thead>
<tr>
<th>Describe the Grantee's FY 2013 procedures continuing in FY 2014 for averting fraud and liner payments when dealing with bulk fuel dealers of heating oil, propane, wood and other unregulated energy utilities</th>
<th>Please highlight any strategies policy in this area which will be newly implemented in FY 2014.</th>
<th>If you don't have a plan for averting fraud when dealing with unregulated energy vendors, please describe how the Grantee is ensuring program integrity.</th>
<th>Necessity outcomes from these systems and strategies</th>
</tr>
</thead>
<tbody>
<tr>
<td>To ensure accountability and to protect against internal fraudulent transactions, WMS has in place a system to track the User ID, Date, Time and Terminal used by individual workers who may inquire into or enter data, including the issuance of HEAP benefits, into the WMS database. In instances of suspected fraud or abuse of the system, reports can be generated to identify individuals who may attempt to perform such unwarranted transactions. Additionally, all transactions generate a “tagged user” through WMS' Local Data Feedback (LDF) process to identify, for local district management staff, the origin of any transactions performed on the system.</td>
<td>The stringent controls in place will be continued in FFY 2014</td>
<td>The processes that have been in place combined with the new processes that will be implemented in FFY 2013 will serve to further avoid and limit vendor fraud.</td>
<td>Participating vendors are thoroughly researched and integrated into the system.</td>
</tr>
<tr>
<td>WMS has in place numerous online and batch processing edits to prevent the accidental or purposeful issuance of duplicate HEAP benefits. Only one regular HEAP benefit (Pay Type H1) may be issued per case during each HEAP benefit year and, additionally, the Benefit Issuance and Control Subsystem (BICS) contains edits and controls to prevent duplicate issuances for various other HEAP single- and payment types. Additionally, WMS edits ensure that payments authorized must match stored badges contained in its Automated Budget and Eligibility Logic (ABEL) budgeting subsystem.</td>
<td>During FFY 2014, OTDA will continue to conduct on-site reviews of a sample of LIHEAP vendors to ensure compliance with the terms and conditions of the New York State LIHEAP Vendor Agreement and to verify the authenticity of LIHEAP vendors. In addition, at least, five vendors required to correct findings related to FFY 12 OTDA audit will be subject to a follow up OTDA audit in FFY14.</td>
<td></td>
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</tbody>
</table>
During FFY 2014 OTDA will continue to review a sample of LIHEAP vendors to ensure compliance with the terms and conditions of the New York State LIHEAP Vendor Agreement. Audit findings are provided in writing to the vendor and the OTDA HEAP Bureau. Corrective action, such as crediting customer accounts in the case of overcharging, is required in situations where there are negative audit findings. Follow up is conducted in these cases to ensure compliance.

Vendors may be terminated for any reason, including, but not limited to failure to conduct corrective action, repeated negative audit findings, and repeated certifier and client complaints.

Notices issued to recipients contain information on the amount paid and the vendor name.

NYS policy required two levels of review on all applications unless the district has Case Supervisory Review Plan approved by OTDA.

NYS requires all vendors to sign a vendor agreement, provide proof of liability insurance and provide a valid EIN. Payments are issued through the NYS Office of the State Comptroller and a 1099 issued to any vendor where total payments exceed $600. Vendors are also required to submit signed W-4s for each county that will authorize payments to that vendor. Counties then issue Vendor IDs to each vendor for use in WMS.

Language regarding penalties for fraud and required corrective action is found in the vendor agreement.
<table>
<thead>
<tr>
<th><strong>VERIFYING THE AUTHENTICITY OF ENERGY VENDORS</strong></th>
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<tbody>
<tr>
<td><strong>Describe Grantee FY 2013 policies continuing in FY 2014 for verifying the authenticity of energy vendors being paid under LIHEAP, as part of the Grantee's procedure for averting fraud:</strong></td>
</tr>
<tr>
<td><strong>Please highlight any policies for verifying vendor authenticity which will be newly implemented in FY 2014:</strong></td>
</tr>
<tr>
<td><strong>If you don't have a system in place for verifying vendor authenticity, please describe how the Grantee can ensure that funds are being distributed through valid intermediaries:</strong></td>
</tr>
<tr>
<td><strong>Necessary outcomes from these systems and strategies:</strong></td>
</tr>
<tr>
<td>All vendors must provide:</td>
</tr>
<tr>
<td>- Federal tax ID number</td>
</tr>
<tr>
<td>- Proof of insurance</td>
</tr>
<tr>
<td>- Proof of licensing</td>
</tr>
<tr>
<td>During FFY 2014, OTDA will continue to conduct on-site reviews of a sample of LIHEAP vendors to ensure compliance with the terms and conditions of the New York State LIHEAP Vendor Agreement and to verify the authenticity of LIHEAP vendors.</td>
</tr>
<tr>
<td>N/A</td>
</tr>
<tr>
<td>An effective process that effectively confirms the existence of entities receiving federal funds.</td>
</tr>
<tr>
<td>TRAINING AND TECHNICAL ASSISTANCE</td>
</tr>
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<td>----------------------------------</td>
</tr>
<tr>
<td>In regards to fraud prevention,</td>
</tr>
<tr>
<td>please describe elements of your</td>
</tr>
<tr>
<td>FY 2013 plan continuing in FY 2014 for training and providing technical assistance to (a) employees, (b) non-governmental staff involved in the eligibility process, (c) clients, and (d) energy vendors.</td>
</tr>
<tr>
<td>Please highlight specific elements of your training regimen and technical assistance resources from your plan which will represent newly implemented in FY 2014.</td>
</tr>
<tr>
<td>If you don’t have a system in place for anti-fraud training or technical assistance for employees, clients or energy vendors, please describe your strategy for ensuring all employees understand what is expected of them and what tactics they are permitted to employ.</td>
</tr>
<tr>
<td>Necessary outcomes from these systems and strategies</td>
</tr>
<tr>
<td>OTDA conducts training sessions in August of each year to train local social services district and alternate certifier staff on the changes for the upcoming HEAP season. In addition, New York State provides new HEAP certifiers with the opportunity to attend HEAP Basic Certification Training, which provides in-depth training on correctly determining HEAP eligibility and on using the benefit authorization systems correctly.</td>
</tr>
<tr>
<td>OTDA provides local district and alternate certifier staff with a HEAP Manual that is updated annually and which provides detailed instructions on correctly determining and documenting eligibility and on correctly authorizing payments to energy vendors on behalf of eligible clients. The instructions in the HEAP Manual and additional policy and procedural requirements are provided to local districts in writing on a regular basis throughout the year.</td>
</tr>
<tr>
<td>OTDA communicates information to LIHEAP vendors on the correct procedures and policies to follow.</td>
</tr>
<tr>
<td>N/A</td>
</tr>
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<td>the facade.</td>
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</tbody>
</table>
In determining the correct price to charge HEAP recipients, in applying HEAP benefits and in making LIHEAP funded fuel deliveries.

All HEAP applicants are provided with a client notice that describes the benefit amount if the client has been determined eligible. For clients that are not eligible, the client notice provides the reason why the client is not eligible. If the benefit is being directly issued to the client’s energy vendor on behalf of the client, the client notice provides the name of the vendor where the benefit is being sent. Clients, therefore, have the information necessary to inform their local certifier if the payment is not being sent to the correct vendor. All individuals in receipt of a HEAP benefit in the prior year are sent a HEAP Application for the current year and a cover letter is included with the application that provides details on eligibility requirements, and any documentation or eligibility changes from the prior year. New York State also has a HEAP hotline that clients may call if they are in need of information or assistance.

<table>
<thead>
<tr>
<th>AUDITS OF LOCAL ADMINISTERING AGENCIES</th>
</tr>
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<tbody>
<tr>
<td>Please describe the annual audit requirements in place for local administering agencies in FY 2013 that will continue into FY 2014.</td>
</tr>
<tr>
<td>If you don’t have specific audit requirements for local administering agencies, please explain how the Grantee will ensure that LIHEAP funds are properly audited under the Single Audit Act requirements.</td>
</tr>
<tr>
<td>Necessary outcomes from these systems and strategies</td>
</tr>
<tr>
<td>Local administering agencies were audited in accordance with the requirements in OMB Circular A-133 in FFY 2010, and will continue to be audited in accordance with these requirements in FFY 2014</td>
</tr>
</tbody>
</table>

**Additional Information**

Please attach further information that describes the Grantee’s Program Integrity Policies, including supporting documentation from program manuals, including pages/sections from established LIHEAP policies and procedures.