

6HFWLRQ ± 3URJUDP 1HHGV *RDOV DQG

&RPPXQLW\ 1HHGV DQG 3URJUDP *RDOV

'HVFULSWLRQ RI (PHUJHQF\ +RXVHKROG 'ULQNLQJ :DWHU

DQG :DVV

The OCS priorities are restoration of household water services, reducing arrearages, reducing rates charged to households. Briefly describe current needs related to these priorities within your state, territory, or tribal areas. Describe any areas of concentrated need or special issues within communities served by water utilities within your state, territory, or tribal area.

2SHUDWLRQDO 3ULRULWLHV DQG (PHUJHQF\)OH[LELOLWLHV

Consistent with goal of the American Rescue Plan to provide immediate relief to the American people, briefly describe the operational priorities within your state, territory or tribal area (e.g. immediate restoration of services to households without current water services, immediate payment of existing arrearages to prevent disconnection of drinking water or wastewater services after a previous moratorium on water services due to Covid-19).

([SHFWHG 'DWH IRU ,QLWLDO :DWHU 3D\PHQWV RQ %HKDO I RI +R

Provide an estimated date by which payments will be initiated based on the operational priorities identified above (e.g. first stage of payments to restore services for currently disconnected households, etc.).

(VWLPDWHG)XQGLQJ \$OORFDWLRQV		
<p>(VWLPDWH ZKDW DPRXQW RI DYDLQ EH XVHG IRU HDFK FRPSRQH QW WKD <i>The total of all percentages must add up to 100%. The combined total of Administration (State) and Administration (Subrecipients) must not exceed 15% of the total for either the Consolidated Appropriations Act or the American Rescue Plan Award.</i></p>	<p>Consolidated Appropriations Act of 2021 Percentage (%)</p>	<p>American Rescue Plan Grant Percentage %</p>
+RXVHKROG %HQHILWV		
2XWUHDFK (OLJLELOLW\ 'HWHUPLQDV		
\$GPLQLVWUDWLRQ 6WDWH		
\$GPLQLVWUDWLRQ 6XEUHFLSLHQW\		
7RWDOFK FROXPQ PXVW HTXDO		
&DWHJRULFDO (OLJLELOLW\		
<p>\$V RXWOLQHG LQ WKH 7HUPV DQG &RQGLWLRQV FXUUHQW UHFLSL FDWHJRULFDO IRU /,+:\$3 DVVLVWDQFH</p> <ul style="list-style-type: none"> • /RZ,QFRPH +RPH (QHUI\ \$VVLVWDQFH 3URJUDP /,+(\$3 • 0HDQWHVWHG 9HWHUDQV 3URJUDPV • 6XSSOHPHQWDO 6HFXULW\ ,QFRPH 66, • 6XSSOHPHQWDO 1XWULWLRQ \$VVLVWDQFH 3URJUDP 61\$3 • 7HPSRUDU\ \$VVLVWDQFH IRU 1HHG\)DPLOLHV 7\$1) <p><i>Briefly describe your operational plans for enrollment of categorically eligible populations based on operational priorities outlined in question 1.2 (e.g. automatic enrollment, acceptance of documentation of enrollment during intake processes). If it will not be possible to include any of these programs in your intake/eligibility processes, provide a brief explanation.</i></p>		

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Determination of Eligibility for Direct Enrollment

Note: The information below is focused on eligibility determination for households that are not categorically eligible based on the enrollment in one of the programs outlined in question 1.5.

1.6 What type of countable income do you use for eligibility determination? (select one)

- Gross Income
- Net Income

1.7 List all the applicable forms of countable income used to determine a household's income eligibility for LIHWAP. Note: The forms of countable income used for benefit eligibility are generally left to the discretion of the grantee; however, the following sources are not applicable forms of countable income used to determine a household's income eligibility for LIHWAP:

- Temporary Assistance for Needy Families (TANF) benefits
- Supplemental Nutrition Assistance Program (SNAP) benefits
- Women, Infants, and Children Supplemental Nutrition Program (WIC) benefits
- Covid-19 Economic Impact Payments (Stimulus Checks)

If any of the above questions require further explanation or clarification that could not be made in the fields, provide said explanation here.

6HFWLRQ HQHILWV	
(OLJLELOLW\	
'HVLJQDWH WKH LQFRPH HOLJLELOLW\ WKUHVKROG XVHG IRU WKH	
(OLJLELOLW\ (3rd line) <input type="checkbox"/>)HGHUDO 3RYHUW\ * <input type="checkbox"/> 6WDWH 0HGLDQ ,QFR <input type="checkbox"/> +\EULG)HGHUDO DQ %DVHG RQ +RXVHKR	(OLJLELOLW\ 7KUHVKROG 3HUFHQW
'R \RX DQWFLSDWH DGGLWLRQDO HOLJLELOLW\ UHTXLUHPHQWV E IRU ZDWHU DVVLVWDFH 1R ,I WKH DQVZHU WR TXHVWLRQ LV <HV' SOHDVH SURYLGH DQ H[
+RZ ZLOO \RX VXSSRUW KR XVHKROGV ZKR VH XWLOLW\ SD\PHQWV I SD\PHQWV"	
&KHFN WKH YDULDEOHV \RX XVH WR G (Check if it Apply. Check both Household Drinking Water Burden and Household Wastewater Burden if households receive a combined bill for drinking water and wastewater):	
<input type="checkbox"/> , Q RPH <input type="checkbox"/> +RXVHKROG 6L]H <input type="checkbox"/> +RXVHKROG 'ULQNLQJ :DWHU %XUGHQ <input type="checkbox"/> +RXVHKROG :DVWHZDWHU %XUGHQ <input type="checkbox"/> 2 WK (Please describe):	
'HVFULEH HVWLPDWHG EHQHILW OHYHOV IRU WKH SURMHFW SHULR	
0LQLP %HQHILW	0D[LPXP %HQHILW

%HQHILW SHULRGV		
,V WKLW D RQH WLP <input type="checkbox"/> EHQHILW 1R		
,I QR SOHDVH H[SODLQ WKH IUHTXHQF\ RI DOORZDEOH EHQHILW H		
'R \RX JLYH SULRULW\ LQ HOLJLELOLW\ WR		
3HRSOH ZLWK 'LVDELO	<input type="checkbox"/> <HV	<input type="checkbox"/> 1R
<RXQJ &KLOGUHQ"	<input type="checkbox"/> <HV	<input type="checkbox"/> 1R
2OGHU \$GXOW 6HQLRU	<input type="checkbox"/> <HV	<input type="checkbox"/> 1R
+RXVHKROGV ZLWK KLJ	<input type="checkbox"/> <HV	<input type="checkbox"/> 1R
2WKHU"	<input type="checkbox"/> <HV	<input type="checkbox"/> 1R
'HVFULEH KRZ \RX SULRULWLJH WKH SURYLVLRQ RI ZDWHU DVVLVW H J EHQHILW DPRXQWV HDUO\ DSSOLFDWLRQ SHULRGV HWF		
'R \RX SURYLGH DSSOLFDQWV LQFOXGLQJ WKRWH ZKR DUH SK\VLV VXEPLW DSSOLFDWLRQV IRU EHQHILWV ZLWKRXW OHDYRQJ WKHLU K		
,I 1R H[SODLQ		
)RU LQGLYLGXDO ZKR DUH KRPHRXQG RU SK\VLFDUO\ GLVDEOHG VLWHV DW ZKLFK DSSOLFDWLRQV IRU DVVLVWDFH DUH DFFHSWHG		
,I 1R H[SODLQ DQG H[SODLQ DOWHUQDWLYH PHDQV RI LQWDNH WR GLVDEOH		

\$UH DQ\ RI WKH XWLOLW\ YHQGRUV \RX ZRUN ZLWK VXEMHFW WR D <input type="checkbox"/> <HV <input type="checkbox"/> 1R	
,I \RX UHVSRRQG <HV WR TXHVWLRQ \RX PXVW UHVSRRQ WR TX 'HVFULEH WKH WHUPV RI WKH PRUDWRULXP DQG DQ\ VSHFLDO GLV FOLHQWV GXULQJ RU DIWHU WKH PRUDWRULXP SHULRG	
'R \RX PDNH SD\PHQWV FRQWLQJHQW RQ YHQGRUV WDNLQJ DSSURS H[LVWLQJ VXSSRUWV WR DOOHYLDWH WKH ZDWHU EXUGHQ RI HOLJL <input type="checkbox"/> <HV <input type="checkbox"/> 1R	
,I VR GHVFULEH WKH PHDVXUHV YHQGRUV PD\ WDNH RU PDLQWDLQ	
&29,' 6SHFLILF	*HQHUDO 1RW &29,' VSHFLILF
<input type="checkbox"/> 'LVFRQQHFWLRQ PRI <input type="checkbox"/> 1R ODWH IHHV LQW FKDUJHV <input type="checkbox"/> \$ELOLW\ WR HQWHU RI PRQWV RU ORQ <input type="checkbox"/> 5HFRQQHFWLRQ RI V GLVFRQQHFWHG FXV <input type="checkbox"/> (QUROOPHQW LQ D C	<input type="checkbox"/> &RQVXPHU SURWHFWLRQV UHJDUGLQJ VK PLQLXP QRWLFH SHULRG SURWHFWLRQ SRSXODWLRQV PLQLXP DPRXQW RYHUGX GLVFRQQHFWLRQ DOORZHG RSSRUWXQLW EHIRUH GLVFRQQHFWLRQ RWKHU SURFHG UHVVWULFWLRQV RQ VKXWRIIV <input type="checkbox"/> 'DWD UHSRUWLQJ UHTXLUHPHQWV IRU XW SHUPDQHQW EDVLV ± H J SHULRGLF UHS RI VKXWRIIV <input type="checkbox"/> 3HUFHQWDJH RI LQFRPH SD\PHQW SODQ F IXQG HG DUHDUDJH DVVLVWDQFH <input type="checkbox"/> /LIHOLQH UDWHV <input type="checkbox"/> :DWHU HIILFLHQF\ DVVLVWDQFH <input type="checkbox"/> 3URYLVLRQV HQVXULQJ FRQWLQXHG VHUY WLPH SHULRG (<i>Describe below</i>) <input type="checkbox"/> 3URYLVLRQV HQVXULQJ UHFRQQHFWLRQ Z SHU (<i>Describe below</i>)

,I DQ\ RI WKH DERYH TXHVWLRQV UHTXLUH IXUWKHU H[SODQDWRQ RU
ILHVO SUHRWLDG H[SODQDWRQ KHUH

6HFWLRQ 2XWUHDFK

- 6HOHFW DOO RXWUHDFK DFWLYLWLHV WKDW \RX FRQGXFW WKDW D
KRXVHKROGV DUH PDGH DZDUH RI DOO /,+:\$3 DVVLVWDQFH DYDLOD
- 3ODFH SRVWHUV IO\HUV LQ ORFDO DQG FRXQW\ VRFLDO VHUYLFH
RIILFHV 9\$ HWF
- 3XEOLVK DUWLFOHV RU SXEOLF VHUYLFH DQQRXQFHPHQWV LQ OF
DQQRXQFHPHQWV
- : RUN GLUHFWO\ ZLWK ZDWHU XWLOLWLHV WR LGHQWLI\ SRWHQW
 ,&OXGH LQVHUWV LQ ZDWHU YHQGRU ELOOLQJV WR LQIRUP LQGL
/,+:\$3 DVVLVWDQFH
- 0DVV PDLOLQJ V WR SULRU \HDU /,+(\$3 UHFLSLHQWV RU UHFLSL
- \$XWRPDWHG SKRQH FDPSDLJQV DQG RU VRFLDO PHGLD RXWUHDF
- 0XOWL OLQJXDO DQQRXQFHPHQWV LQ ODQJXDJHV VSRNHQ E\ ORZ
VHUYLFH DUHD DQG RU QRWLILFDWLRQ LQ HWKQLF ODQJXDJH QH
- ,QRUP ORZ LQFRPH DSSOLFDQWV RI WKH DYDLODELOLW\ RI DOO V
DSSOLFDWLRQ LQWDNH IRU RWKHU ORZ LQFRPH SURJUDPV
- ([HFXWH LQWHUDJHQF\ DJUHHPHQWV ZLWK RWKHU ORZ LQFRPH S
SDWKZD\V FUHDWHG IRU &RYLG RXWUHDFK WR SHUIRUP RXWUH
- 2XWUHDFK WR IDLWK EDVHG LQVWLWXWLRQV LQFOXGLQJ WKRVH
FRORU
- 2WK (specify):

,I DQ\ RI WKH DERYH TXHVWLRQV UHTXLUH IXUWKHU H[SODQDWRQ RU
ILHVO&UHQWLDG H[SODQDWRQ KHUH

6HFWLRQ &RRUGLQDWLRQ

'HVFULEH KRZ \RX ZLOO HQVXUH WKDW WKH /,+:\$3 SURJUDP LV FRR
SURJUDPV DYDLODEOH WR ORZ LQFRPH KRXVHKROGV /,+(\$3 7\$1) (
(PHUJHQF\ 5HQWDO \$VVLVWDQFH 3URJUDP +RPHRZQHU \$VVLVWDQF

-RLQW DSSOLFDWLRQ IRU PXOWLSOH SURJUDPV

,QWDNH UHIHUUDOV WR IURP RWKHU SURJUDPV

2QH VWRS LQWDNH FHQWHUV

2WK ~~Describe:~~

'HVFULEH KRZ \RX ZLOO FRRUGLQDWH ZLWK UHOHYDQW UHJXODWR
VXSSOLHUV

,I DQ\ RI WKH DERYH TXHVWLRQV UHTXLUH IXUWKHU H[SODQD WLRQ RU
ILOGV SURJUDQD WLRQ KHUH

**6HFWLRQ \$JHQF\ 'HVLJQDWLRQ
 5HTXLUHG IRU 6WDWH JUDQWHHV DQG WKH &**

+RZ ZRXOG \RX FDWHJRULJH WKH SULPDU\ UHVSQRVLELOLW\ RI \RX

- \$GPLQLVWUDWLRQ \$JHQF\
- &RPPHUFH \$JHQF\
- &RPPXQLW\ 6HUYLEFHV \$JHQF\
- (QHUJ\ (QYLURQPHQW \$JHQF\
- +RXVLQJ \$JHQF\
- +XPDQ 6HUYLEFH \$JHQF\
- 2WK ~~Describe:~~

/,+:\$3 &RPSRQHQQW \$GPLQLVWUDWLRQ	Drinking Water Service	Wastewater Service
D :KR GHWHUPLQH HOLJLELOLW\"		
E :KR SURFHVVHV SD\PHQWV WR ZDWH SURYLGHUV"		

,I DQ\ RI \RXU /,+:\$3 FRPSRQHQQWV DUH QRW FHQWUDOO\ DGPLQLVWHU
 FRPSOHWH TXHVWLRQV DQG

:KDW LV \RXU SURFHVV IRU VHOHFWLQJ ORFDO DGPLQLVWHULQJ D.

+RZ PDQ\ ORFDO DGPLQLVWHULQJ DJHQFLHV GR \RX XVH"

:KDW W\SHV RI ORFDO DGPLQLVWHULQJ DJHQFLHV GR \RX XVH"

- &RPPXQLW\ \$FWLRQ \$JHQFLHV
- /RFDO *RYHUQPHQWV
- &LW\ *RYHUQPHQWV
- &RXQW\ *RYHUQPHQWV
- 2WKU QRQ SURILWV

,I DQ\ RI WKH DERYH TXHVWLRQV UHTXLUH IXUWKHU H[SODQD WLRQ RU
ILH[GLJLRQV DLG H[SODQD WLRQ KHUH

6HFWLRQ :DWHU 6XSSOLHUV

Note: Water suppliers refers to both drinking and/or wastewater suppliers as they may be different entities at the local level

7KH IROORZLQJ TXHVWLRQ LV VSHFLILF WR 7ULEHV RQO\ 'R \RX F
ZDWHU DQG ZDVWHZDWHU XWLOLW\ VHU\LFHV"
 <HV ,I 3<HV' SOHDVH SURFHGG WR QH[W TXHVWLRQV
 1R ,I 31R' SOHDVH VNLS WR TXHVWLRQ

+RZ GR \RX QRWLI\ WKH KR XVHKROG RI WKH DPRXQW RI DVVLVWDQ
DVVLVWDQFH SD\PHQW"

+RZ GR \RX DVVXUH WKDW QR KR XVHKROG UHFHLYLQJ DVVLVWDQF
DGYHUV\ EHFDXVH RI WKHLU UHFHLSW RI /,+:\$3 DVVLVWDQFH"

+RZ GR \RX DVVXUH WKDW ZDWHU VXSSOLHUV DUH UHVWRULQJ GL
PDLQWDLQLQJ FRQWLQXLW\ RI VHUYLFH GXH WR WKH EHQHILW SD\

)RU 7ULEHV ZKR DQVZHUG ³\$DHWHTXHVFLRQ KRZ \RX LQWHQG V
DFFXUDWH UHFRUGV WR VKRZ KRZ /,+:\$3 IXQGV DUH H[SHQG HG IRU
ZDVWHZDWHU XWLOLWLHV RQ EHKDOI RI KRXXVKROGV , ()LQDQF

,I DQ\ RI WKH DERYH TXHVWLRQV UHTXLUH IXUWKHU H[SODQD WLRQ RU
ILHOG SUH YLDG H[SODQD WLRQ KHUH

6HFWL3QRJUDP)LVFDO 0RQLWRULQJ DQG

+RZ GR \RX HQVXUH JRRG ILVFDO DFFRXQWLQJ DQG WUDFNLQJ RI /,

\$XGLW 3URFHVV

'HVFULEH DQ\ DXGLW ILQGLQJV ULVLQJ WR WKH OHYHO RI PDWHUL
 LQ WKH 6LQJOH \$XGLW DV UHTXLUHG LQ WKH 6LQJOH \$XGLW \$FW
 LQVSHFRU JHQHUDO UHYLHZV RU RWKHU JRYHUQPHQW DJHQF\ UH
 PRVW UHFHQWO\ DXGLWHG ILVFDO \HDU
 1R)LQGLQJV

Finding	Type	Brief Summary	Resolved?	Action Taken
			Yes No	
			Yes No	
			Yes No	
			Yes No	
			Yes No	
			Yes No	

&RPSOLDQFH 0RQLWRULQJ

,GHQWLI\ WKH *UDQWHH V VWUDWHJLHV IRU PRQLWRULQJ FRPSOLD
/,+:\$3 SROLFLHV DQG SURFHGXUHV H J FHUWLILFDWLRQV 7HUPV D
QRQGLVFULPLQDWLRQ ~~Select all that apply~~ QWV

*UDQWHH HPSOR\HHV

- ,QWHUQDO SURJUDP UHYLHZ
- 'HSDUWPHQWDO RYHUVLJKW
- 6HFRQGDU\ UHYLHZ RI LQYRLFHV DQG SD\PHQWV
- 5HFRQFLOLDWLRQ RI ZDWHU VXSSOLHU UHFRUGV
- 2WKHU SURJUDP UHYLHZ PHFK ~~Describe~~ VPV DUH LQ SODFH

/RFDO \$GPLQLVWHULQJ \$JHQFLHV 'LVWULFW 2IILFHV

- 2Q VLWH HYDOXDWLRQ
- \$QQXDO SURJUDP UHYLHZ
- 0RQLWRULQJ WKURXJK FHQWUDO GDWDEDVH
- 'HVN UHYLHZV
- &OLHQW ILOH WHVWLQJ VDPSOLQJ
- 5HFRQFLOLDWLRQ RI ZDWHU VXSSOLHU UHFRUGV
- 2WKHU SURJUDP UHYLHZ PHFK ~~Describe~~ VPV DUH LQ SODFH

(SODLQ RU DWWDFK D FRS\ RI \RXU ORFDO DJHQF\ PRQLWRULQJ VF

'HVFULEH KRZ \RX VHOHFW ORFDO DJHQFLHV IRU PRQLWRULQJ UHY
6LWHWLV

'HVNHLHZV

+RZ RMHQ ZLOO HDFK ORFDO DJHQF\ ~~Note: This Answer Can be Positive.~~

+RZ PDQ\ ORFDO DJHQFLHV DUH FXUUHQWO\ RQ FRUUHFWLYH DFWL
GHWHUPLQDWLRQ LVVXH IRU /,+(\$3 RU RWKHU SURJUDPV DGPLQLV

+RZ PDQ\ ORFDO DJHQFLHV DUH FXUUHQWO\ RQ FRUUHFWLYH DFWL
DGPLQLVWUDWLYH LVVXH IRU /,+(\$3 RU RWKHU SURJUDPV DGPLQLV

,I DQ\ RI WKH DERYH TXHVWLRQV UHTXLUH IXUWKHU H[SODQDWRQ RU
SURYLGH ~~W~~ [SODQDWRQ KHUH

6HFWLRQ 3XEOLF 3DUWLFLSDWLR

+RZ GLG \RX REWDLQ LQSDXW IURP WKH SXEOLF LQ WKH GHYHORSPH
Select all that apply.

7ULEDO &RXQFLO PHHWLQJ V

3XEOLF KHDULQJ V

(QWHU WKH GDWHV IRU 7ULEDO &RXQFLO PHHWLQJ V RU 3XEOLF KH

'UDIW 3ODQ SRVWHG WR ZHEVLWH DQG DYDLODEOH IRU FRPPHQW

+DUG FRS\ RI SODQ LV DYDLODEOH IRU SXEOLF YLHZ DQG FRPPH

(QWHU KRZ ORQJ GUDIW SODQ DQG RU KDUG FRS\ RI SODQ ZDV DYD

&RPPHQWV IURP DSSOLFDQWV DUH UHFRUGHG

5HTXHVV IRU FRPPHQWV RQ GUDIW 3ODQ LV DGYHUWLVHG

6WDNHKROGHU RU FRQVXOWDWLRQ PHHWLQJ V

&RPPHQWV DUH VROLFLWHG GXULQJ RXWUHDFK DFWLYLWLHV

2WK ~~Describe:~~

+RZ PDQDUWLFRPPHQWVGRSODQ'

6XPPDULJH WKH FRPPHQWV \RX UHFHLYHG RQ \RXU SODQ KHUH

:KDWKQJHV GLG \RX PDNH WR \RXU /,+:\$3 SODQ DV D UHVXOW RI W

,I DQ\ RI WKH DERYH TXHVWLRQV UHTXLUH IXUWKHU H[SODQDWRQ RU
ILHVO SUHRWLDG H[SODQDWRQ KHUH

6HFWLRQ)DLU +HDULQJV

Note: Administrative hearing opportunities will be comparable to and may utilize existing processes, procedures, and systems currently in place for the State, Territory, or Tribe's Low Income Home Energy Assistance grant.

'HVFULEH \RXU IDLU LQGSHQGHQW KHDULQJ SURFHGXUHV IRU K
GHQLHG RU ZKHUH WKH DSSOLFDQW GLVXWHV WKH EHQHILW DPRX

:KHQ DQG KRZ DUH DSSOLFDQWV LQIRUPHG RI WKHVH ULJKWV"

'HVFULEH \RXU IDLU KHDULQJ SURFHGXUHV IRU KR XVHKROGV ZKR
LQ DHWOLPPDQQHU

:KHQ DQG KRZ DUH DSSOLFDQWV LQIRUPHG RI WKHVH ULJKWV"

,I DQ\ RI WKH DERYH TXHVWLRQV UHTXLUH IXUWKHU H[SODQDWRQ RU
ILHVOG SURYLQJ H[SODQDWRQ KHUH

6HFWLRQ 7UDLQLQJ

7UDLQLQJ 6WUDWHJ\ %ULHIO\ GHVFULEH WKH DQWLFLSDWHG WUD
JUDQWWERFDGDLQLVWJHQDQSDUWLFZDWWLQJXQGHVVDQG
UHTXLUHRWVWQHQHPV BRGLWLRQO HOULHXLQJHAGWV
SURFHGXWVULEHGLDQGLFDQHWHFQVLDVQVDFHVRXUFHV
QHHGHWKH 6WUDWHJ\WUDWHJ\WUDWHJ\WUDWHJ\WUDWHJ\WUDWHJ\

6HFWLRQ 3HUIRUPDQFH 0DQDJHPHQ

'HVFULEH DQ\ FKDOOHQJHV \RX DQWLFLSDWH ZLWK FROOHFWLQJ D
\HDU UHJDUGLQJ KRZ \RX LPSOHPHQWHG \RXU /,+:\$3 ([DPSOHV RI
DUH QRW OLPLWHG WR WKH QXPEHU RI KRXVHKROGV DVVLVWHG W
SURYLGHG WKH QXPEHU RI KRXVHKROGV ZKRVH ZDWHU RU ZDVWHZ
EHFDXVH RI WKH EHQHILW GHPRJUDSKLFV RI DSSOLFDEQWV DQG EH
LPLQHQW GLVFRQQHFWLRQV RI ZDWHU RU ZDVWHZDWHU VHUULFHV

/LVW DQ\ WHFKQLFDO DVVLVWDQFH UHVRXUFHV \RX UHTXHVW RI \$8
DQDQW DQG UHSRUWLQJ RQ \RXU /,+:\$3

,I DQ\ RI WKH DERYH TXHVWLRQV UHTXLUH IXUWKHU H[SODQDWRQ RU
ILHVO SUHR YLDG G H[SODQDWRQ KHUH

6HFWLRQ 3URJUDP ,QWHJULW

)UDXG 5HSRUWLQJ 0HFKDQLVPV

D ,GHQWL\ DOO PHFKDQLVPV WKDW ZLOO EH DYDLODEOH WR WKH S
 VXVSHFWHG /,+:\$3 ZDVWH ~~ISelect all that apply.~~ EXVH

2QOLQH IUDXG UHSRUWLQJ

'HGLFDWHG IUDXG UHSRUWLQJ KRWOLQH

5HSRUW GLUHFWO\ WR ORFDO DJHQF\ GLVWULFW RIILFH RU *U

5HSRUW WR 6WDWH ,QVSHFWRU *HQHUDO RU \$WWRUQH\ *HQHU

)RUPV DQG SURFHGXUHV LQ SODFH IRU ORFDO DJHQFLHV GLVW
 IUDXG ZDVWH DQG DEXVH

2WK Describe:

E ,GHQWL\ VWUDWHJLHV WKDW ZLOO EH XVHG IRU DGYHUVLVLQJ W
Select all that apply

3ULQWHG RXWUHDFK PDWHULDOV

\$GGUHVHG RQ /,+:\$3 DSSOLFDWLRQ

:HEVLWH

2WK Describe:

,GHQWLILFDWLRQ 'RFXPHQDWLRQ 5HTXLUPHQWV

D ,QGLFDWH ZKLFK RI WKH IROORZLQJ IRUPV RI LGHQWLILFDWLRQ Z
 FROOHFWHG IURP /,+:\$3 DSSOLFDQWV RU WKHLU KRXVHKROG PH
 GRFXPHQDWLRQ UHTXLUH LV OHIW WR WKH GLVFUHWLRQ RI WK
 LQFOXGHG LQ WKH OLVW EHORZ DUH H[DPSOHV RI GRFXPHQDWL
 VRPH RU DOO KRXVHKROG PHPEHUV EDVHG RQ SROLFLHV ZLWKLQ
 &RPSDUDEOH GRFXPHQDWLRQ DQG SURFHGXUHV PD\ EH LQVWLW
 EH PRGLLHG RU VLPSOLILHG IRU KRXVHKROGV WKDW DUH FDWHJ
 SURJUDPV LGHQWLILHG LQ TXHVWLRQ

Type of Identification Collected	Collected from Whom?		
	Applicant Only	All Adults in Household	All Household Members
6RFLDO 6HFXULW\ &DU DQG UHWDLQHG	<input type="checkbox"/> 5HTXLUHC <input type="checkbox"/> 5HTXHVV	<input type="checkbox"/> 5HTXLUH <input type="checkbox"/> 5HTXHVV	<input type="checkbox"/> 5HTXLUHG <input type="checkbox"/> 5HTXHVVHG
6RFLDO 6HFXULW\ 1XP \$FWXDO &DUG	<input type="checkbox"/> 5HTXLUHC <input type="checkbox"/> 5HTXHVV	<input type="checkbox"/> 5HTXLUH <input type="checkbox"/> 5HTXHVV	<input type="checkbox"/> 5HTXLUHG <input type="checkbox"/> 5HTXHVVHG
*RYHUQPHQW LVVXH FDUG L H GULYHU V 7ULEDO , SDVSRUW	<input type="checkbox"/> 5HTXLUHC <input type="checkbox"/> 5HTXHVV	<input type="checkbox"/> 5HTXLUH <input type="checkbox"/> 5HTXHVV	<input type="checkbox"/> 5HTXLUHG <input type="checkbox"/> 5HTXHVVHG
2WK Describe Below)	<input type="checkbox"/> 5HTXLUHC <input type="checkbox"/> 5HTXHVVHG	<input type="checkbox"/> 5HTXLUH <input type="checkbox"/> 5HTXHVVHG	<input type="checkbox"/> 5HTXLUHG <input type="checkbox"/> 5HTXHVVHG

Select all that apply

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

12. . Citizenship/Legal Residency Verification

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

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

,QFRPH 9HULILFDWLRQ 1RWH ,QFRPH YHULILFDWLRQ DSSOLHV RQ
EHHQ GHWHUPLQH WR EH FDWHJRULFDOO\ HOLJLEOH EDVHG RQ H
LGHQWLILHG LQ TXHVWLRQ DERYH OHWKRGV RI LQFRPH YHULIL
RI JUDQWHHV DQG VKRXOG EH FRQVLVWHQW ZLWK DQ\ VRXUFHV RI
TXHVWLRQ DERYH

:KDW PHWKRGV ZLOO \RXU DJHQF\ XWLOL]H ~~Select all that apply.~~ KR XVHKROG

- 5HTXLUH GRFXPHQWDWLRQ RI LQFRPH IRU DOO DGXOW KR XVHKROG
 - %DQN VWDWHPHQWV
 - 3D\ VWXEV
 - 6RFLDO 6HW\ DZDUG OHWWHUV
 - 7D[VWDWHPHQWV
 - 8QHPSOR\PHQW LQVXUDQFH OHWWHUV
 - =HUR LQFRPH VWDWHPHQWV
 - 2WK ~~Describe:~~

- &RPSXWHU GDWD PDWFKHV
 - ,QFRPH LQIRUPDWLRQ PDWFKHG DJDLQVW VWDWH FRPSXWHU
 - 3URRI RI XQHPSOR\PHQW EHQHILWV YHULILHG ZLWK VWDWH
 - 6RFLDO 6HFXULW\ LQFRPH YHULILHG ZLWK 66\$
 - 8WLOL]H VWDWH GLUHFWRU\ RI QHZ KLUHV
 - 2WK ~~Describe:~~

3URWHFWLRQ RI 3ULYDF\ DQG &RQILGHQWLDOLW\
*Identify the financial and operating controls that will be in place to protect client information
against improper use or disclosure. Select all that apply.*

- 3ROLF\ LQ SODFH SURKLELWLQJ UHOHDVH RI LQIRUPDWLRQ ZLWK
- *UDQWHH /,+:\$3 GDWDEDVH LQFOXGHV SULYDF\ FRQILGHQWLDOLW\
- (PSOR\HH WUDLQLQJ RQ FRQILGHQWLDOLW\ IRU
 - *UDQWHH HPSOR\HDO DJHQFLHV GLVWULFW RIILFHV
- (PSOR\HHV PXVW VLJQ FRQILGHQWLDOLW\ DJUHHPHQW
 - *UDQWHH HPSOR\HDO DJHQFLHV GLVWULFW RIILFHV
- 3K\VLFD OLOHV DUH VWRUHG LQ D VHFUXH ORFDWLRQ
- 2WK ~~Describe:~~

9HULI\LQJ WKH \$XWKHQWLF\

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

- \$OO YHQGRUV PXVW UHJLVWHU ZLWK WKH 6WDWH 7ULEH
- \$OO YHQGRUV PXVW VXSSO\ DUPDOLG 661 RU 7,1 : IR
- 9HQGRUV DUH YHULILHG WKURXJK ZDWHU ELOOV SURYLGHG E\ W
- *UDQWHH DQG RU ORFDO DJHQFLHV GLVWULFW RIILFHV SHUIRUP
- 2WKH Describe and note any exceptions to policies above:

%HQHILWV 3ROLF\ :DWHU DQG :DVWHZDWHU 8WLWLHV

What policies will be in place to protect against fraud when making benefit payments to water utilities on behalf of clients? Select all that apply.

- \$SSOLFDQWV UHTXLUHG WR VXEPLW SURRI RI SK\VLFD UHVLGH
- \$SSOLFDQWV PXVW VXEPLW FXUUHQW ZDWHU RU ZDVWH ZDWHU E
- &HQWUDOL]HG FRPSXWHU V\WHP GDWDEDVH WUDFNV SD\PHQWV
- &HQWUDOL]HG FRPSXWHU V\WHP DXWRPDWLFDOO\ JHQHUDWHV I
- &RPSXWHU GDWDEDVHV DUH SHULRGLFDOO\ UHYLHZHG WR YHULI
PDGH WR ZDWHU VXSSOLHUV
- 'DWD H[FKDQJH ZLWK XWLWLHV WKDW YHULILHV
 - \$FFRXQW LV SURSHUO\ FUHGLWHG ZLWK EHQHILW
 - \$FFRXQW RZQHUVKLS
 - %DODQFHV
 - &RQVXPSWLRQ
 - 3D\PHQW KLVWRU\
 - 2WKH Describe:
- 3D\PHQWV FRRUGLQDWHG DPRQJ RWKHU ZDWHU DQG ZDVWHZDWH
GXSOLFDWLRQ RI SD\PHQWV
- 3D\PHQWV WR ZDWHU VXSSOLHUV DQG LQYRLFHV IURP ZDWHU VX
- 3URFHGXUHV DUH LQ SODFH WR UHTXLUH SURPSW UHIXQGV IURP
- 6HSDUDWLRQ RI GXWLHV EHWZHHQ LQWDNH DQG SD\PHQW DSSUR
- 9HQGRU DJUHHPHQWV VSHFL\ UHTXLUHPHQWV VHOHFWHG DERYH
PHFKDQLVP
- 2WKH Describe:

, QYHVWLJDWLRQV DQG 3URVHFXWLRQV
Identify the Grantee's procedures for investigating and prosecuting reports of fraud, and any sanctions placed on clients/staff/vendors found to have committed fraud. Select all that apply.

- &OLHQWV IRXQG WR KDYH FRPPLWWHG IUDXG DUH EDQQHG IURP D KRXVHFRQFHG"
- &RQWUDFWV ZLWK ORFDO DJHQFLHV UHTXLUH WKDW HPSOR\HHV UHSULPDQGHG DQG RU WHUPLQDWHG
- *UDQWHH DWWHPSWV FROOHFWLRQ RI LPSURSHU SD\PHQWV ,I V
- /RFDO DJHQFLHV GLVWULFW RIILFHV RU *UDQWHH FRQGXFW LQYH
- 5HIHU WR ORFDO SURVHFXWRU RU 6WDWH \$WWRUQH\ *HQHUDO
- 5HIHU WR 6WDWH ,QVSHFWRU *HQHUDO
- 5HIHU WR 86 '++6 ,QVSHFWRU *HQHUDO LQFOXGLQJ UH HUUDO W
- 9HQGRUV IRXQG WR KDYH FRPPLWWHG IUDXG PD\ QR ORQJHU SDU
- 2WK ~~Describe:~~

,I DQ\ RI WKH DERYH TXHVWLRQV UHTXLUH IXUWKHU H[SODQDWRU RU ILQGV SURDLG H[SODQDWRU KHUH

6HFWLRQ &HUWLILFDWLRQ 5HJDUGLQJ 'HE
DQG 2WKHU 5HVSQRVLELQW\ 0DWW

&HUWLILFDWLRQ 5HJDUGLQJ 'HEDUPHQW 6XVSHQVLRQ DQG 2WK
3ULPDU\ &RYHUHG 7UDQVDFWLRQV

,QVWUXFWLRQV IRU &HUWLILFDWLRQ

%\ VLJQLQJ DQG VXEPLWWLQJ WKLW SURSRVDO WKH SURVSHFWLYH
FHUWLILFDWLRQ VHW RXW EHZ

7KH LQDELOLW\ RI D SHUVRQ WR SURYLGH WKH FHUWLILFDWLRQ UHT
GHQDO RI SDUWLFLSDWLRQ LQ WKLW FRYHUHG WUDQVDFWLRQ 7KH
H[SODQDWRQ RI ZK\ LW FDQQRW SURYLGH WKH FHUWLILFDWLRQ VH
ZLOO EH FRQVLGHUHG LQ FRQQHFWRU ZLWK WKH GHSDUWPHQW RU
LQWR WKLW WUDQVDFWLRQ +RZHYHU IDLOXUH RI WKH SURVSHFWLY
RU DQ H[SODQDWRQ VKDOO GLVWUXDOL\ VXFK SHUVRQ IURP SDUWL

7KH FHUWLILFDWLRQ LQ WKLW FODXVH LV D PDWHULDO UHSHUWHQW
ZKHQ WKH GHSDUWPHQW RU DJHQF\ GHWHUPLQH WR HQWHU LQWR
WKDW WKH SURVSHFWLYH SULPDU\ SDUWLFLSDQW NQRZLQJ\ UHQGH
RWKHU UHPHGLHV DYDLODEOH WR WKH)HGHUDO *RYHUQPHQW WKH
WUDQVDFWLRQ IRU FDXVH RU GHIDXOW

7KH SURVSHFWLYH SULPDU\ SDUWLFLSDQW VKDOO SURYLGH LPPHGL
DJHQF\ WR ZKLFK WKLW SURSRVDO LV VXEPLWWHG LI DW DQ\ WLPH V
WKDW LWV FHUWLILFDWLRQ ZDV HUURQHRXV ZKHQ VXEPLWWHG RU K
FLUFXPVWDQFHV

7KH WHUPV FRYHUHG WUDQVDFWLRQ GHEDUHG VXVSHQG HG LQH
SDUWLFLSDQW SHUVRQ SULPDU\ FRYHUHG WUDQVDFWLRQ SULQFLS
XVHG LQ WKLW FODXVH KDYH WKH PHDQLQJ VHW RXW LQ WKH 'HIL
LPSOHPHQWLQJ ([HFXWLYH 2UGHU <RX PD\ FRQWDFW WKH GHSD
SURSRVDO LV EHLQJ VXEPLWWHG IRU DVVLVWDQFH LQ REWDLQLQJ D

7KH SURVSHFWLYH SULPDU\ SDUWLFLSDQW DJUHHV E\ VXEPLWWLQJ
FRYHUHG WUDQVDFWLRQ EH HQWHUHG LQWR LW VKDOO QRW NQRZL
WUDQVDFWLRQ ZLWK D SHUVRQ ZKR LV SURSRVHG IRU GHEDUPHQW)
GHEDUHG VXVSHQG HG GHFODUHG LQHOLJLEOH RU YROXQWDULO\
WUDQVDFWLRQ XQOHVV DXWKRUL]HG E\ WKH GHSDUWPHQW RU DJHG

7KH SURVSHFWLYH SULPDU\ SDUWLFLSDQW IXUWKHU DJUHHV E\ VXE
FODXVH WLWOHG CC&HUWLILFDWLRQ 5HJDUGLQJ 'HEDUPHQW 6XVSH
/RZHU 7LHU &RYHUHG 7UDQVDFWLRQ SURYLGHG E\ WKH GHSDUWPH
WUDQVDFWLRQ ZLWKRXW PRGLILFDWLRQ LQ DOO ORZHU WLHU FRY
ORZHU WLHU FRYHUHG WUDQVDFWLRQV

\$ SDUWLFLSDQW LQ D FRYHUHG WUDQVDFWLRQ PD\ UHO\ XSRO D FHU
ORZHU WLHU WUDQVDFWLRQ WKDW LW LV QRW SURSRVHG IRU GHEDUPHQ
GHEDUHG VXVSHQG HG LQHOLJLEOH RU YROXQWDULO\ H[FOXG
NQRZV WKDW WKH FHUWLILFDWLRQ LV HUURQHRXV \$ SDUWLFLSDQW
ZKLFK LW GHWHUPLQHV WKH HOLJLELOLW\ RI LWV SULQFLSDOV (DFH
WKH /LVW RI 3DUWLHV ([FOXHG IURP)HGHUDO 3URFXUHPHQW DQG

1RWKLQJ FRQWDLQH LQ WKH IRUHJRLQJ VKDOO EH FRQVWUXHG WR
UHFRUGV LQ RUGHU WR UHQGHU LQ JRRG IDLWK WKH FHUWLILFDWLR
LQIRUPDWLRQ RI D SDUWLFLSDQW LV QRW UHTXLUHG WR H[FHHG WK
SHUVRQWKH RUGLQDU\ FRXUVH RI EXVLQHVV GHDOLQJ

([FHSW IRU WUDQVDFWLRQV DXWKRUL]HG XQGHU SDUDJUD\$K RI WK
FRYHUHG WUDQVDFWLRQ NQRZLQJO\ HQWHUV LQWR D ORZHU WLHU F
SURSRVHG IRU GHEDUPHQW XQGHU &)5 SDUW VXESDUW VXVS
YROXQWDULO\ H[FOXGHG IURP SDUWLFLSDWLRQ LQ WKLV WUDQVDFW
WKH)HGHUDO *RYHUQPHQW WKH GHSDUWPHQW RU DJHQF\ PD\ WHU
GHIDXOW

&HUWLILFDWLRQ 5HJDUGLQJ 'HEDUPHQW 6XVSHQVLRQ DQG 2WK
3ULPDU\ &RYHUHG 7UDQVDFWLRQV

7KH SURVSHFWLYH SULPDU\ SDUWLFLSDQW FHUWLILHV WR WKH EHV
SULQFLSDOV

D \$UH QRW SUHVHQWO\ GHEDUHG VXVSHQG HG SURSRVHG IRU GH
YROXQWDULO\ H[FOXGHG E\ DQ\)HGHUDO GHSDUWPHQW RU DJHQ

E +DYH QRW ZLWKLQ D WKUHH \HDU SHULRG SUHFHGLQJ WKLV SURS
MXGJPHQW UHQGHUHG DJDLQVW WKHP IRU FRPPLVLRQ RI IUDXG
ZLWK REWDLQLQJ DWWHPSWLQJ WR REWDLQ RU SHUIRUPPLQJ D S
RU FRQWUDFW XQGHU D SXEOLF WUDQVDFWLRQ YLRODWLRQ RI)
FRPPLVLRQ RI HPEH]]OHPHQW WKHIW IRUJHU\ EULEHU\ IDOVL
PDNLQJ IDOVH 6WDWHPHQWV RU UHFHLYLQJ VWROHQ SURSHUW\

F \$UH QRW SUHVHQWO\ LQGLFWHG IRU RU RWKHUZLVH FULPLQDOO\
)HGHUDO 6WDWH RU ORFDO ZLWK FRPPLVLRQ RI DQ\ RI WKH R
E RI WKLV FHUWLILFDWLRQ DQG

G +DYH QRW ZLWKLQ D WKUHH \HDU SHULRG SUHFHGLQJ WKLV DSS
WUDQVDFWLRQV)HGHUDO 6WDWH RU ORFDO WHUPLQDWHG IRU

:KHUH WKH SURVSHFWLYH SULPDU\ SDUWLFLSDQW LV XQDEOH WR FH
FHUWLILFDWLRQ VXFK SURVSHFWLYH SDUWLFLSDQW VKDOO DWWDF

&HUWLILFDWLRQ 5HJDUGLQJ 'HEDUPHQW 6XVSHQVLRQ ,QHOLJL
/RZHU 7LHU &RYHUHG 7UDQVDFWLRQV

,QVWUXFWLRQV IRU &HUWLILFDWLRQ

%\ VLJQLQJ DQG VXEPLWWLQJ WKLV SURSRVDO WKH SURVSHFWLYH
FHUWLILFDWLRQ VHW RXW EHZ

7KH FHUWLILFDWLRQ LQ WKLV FODXVH LV D PDWHULDO UHSUHVHQW
ZKHQ WKLV WUDQVDFWLRQ ZDV HQWHUHG LQWR ,I LW LV ODWHU GH
SDUWLFLSDQW NQRZLQJO\ UHQGHUHG DQ HUURQHRXV FHUWLILFDW
WKH)HGHUDO *RYHUQPHQW WKH GHSDUWPHQW RU DJHQF\ ZLWK ZKL
SXUVXH DYDLODEOH UHPHGLHV LQFOXGLQJ VXVSHQVLRQ DQG RU GH

7KH SURVSHFWLYH ORZHU WLHU SDUWLFLSDQW VKDOO SURYLGH LPP
WKLV SURSRVDO LV VXEPLWWHG LI DW DQ\ WLPH WKH SURVSHFWLYH
FHUWLILFDWLRQ ZDV HUURQHRXV ZKHQ VXEPLWWHG RU KDG EHFPH
FLUFXPVWDQFHV

7KH WHUPV FRYHUHG WUDQVDFWLRQ GHEDUHG VXVSHQG HG LQHO
SDUWLFLSDQW SHUVRQ SULPDU\ FRYHUHG WUDQVDFWLRQ SULQFLS
XVHG LQ WKLV FODXVH KDYH WKH PHDQLQJ VHW RXW LQ WKH 'HILQ
LPSOHPHQWLQJ ([HFXWLYH 2UGHU <RX PD\ FRQWDFW WKH SHUV
VXEPLWV\ &VVLVWDQFH LQ REWDLQLQJ D FRS\ RI WKRVH UHJXODWLR

7KH SURVSHFWLYH ORZHU WLHU SDUWLFLSDQW DJUHHV E\ VXEPLWW
WKH SURSRVHG FRYHUHG WUDQVDFWLRQ EH HQWHUHG LQWR LW VK
FRYHUHG WUDQVDFWLRQ ZLWK D SHUVRQ ZKR LV SURSRVHG IRU GHE
GHEDUUHG VXVSHQGHG GHFODUHG LQHOLJLEOH RU YROXQWDU
FRYHUHG WUDQVDFWLRQ XQOHVV DXWKRUL]HG E\ WKH GHSDUWPHQW
RULJLQDWHG

7KH SURVSHFWLYH ORZHU WLHU SDUWLFLSDQW IXUWKHU DJUHHV E\
WKLW FODXVH WLWOHG CC&HUWLILFDWLRQ 5HJDUGLQJ 'HEDUPHQW
([FOXVLRQ /RZHU 7LHU &RYHUHG 7UDQVDFWLRQ ZLWKRXW PRGLILF
WUDQVDFWLRQ DQG LQ DOO VROLFLWDWLRQV IRU ORZHU WLHU FRYHUHG

\$ SDUWLFLSDQW LQ D FRYHUHG WUDQVDFWLRQ PD\ UHO\ XSRQ D FHU
ORZHU WLHU FRYHUHG WUDQVDFWLRQ WKDW LW LV QRW SURSRVHG
GHEDUUHG VXVSHQGHG LQHOLJLEOH RU YROXQWDULO\ H[FOXG
NQRZV WKDW WKH FHUWLILFDWLRQ LV HUURQHRXV \$ SDUWLFLSDQW
ZKLFK LW GHWHUPLQHV WKH HOLJLELOLW\ RI LWV SULQFLSDOV (DF
WKH /LVW RI 3DUWLHV ([FOXGHG IURP)HGHUDO 3URFXUHPHQW DQG

1RWKLQJ FRQWDLQHG LQ WKH IRUHJRLQJ VKDOO EH FRQVWUXHG WR
UHFRUGV LQ RUGHU WR UHQGHU LQ JRRG IDLWK WKH FHUWLILFDWLRQ
LQIRUPDWLRQ RI D SDUWLFLSDQW LV QRW UHTXLUHG WR H[FHHG WK
SHUVRQ LQ WKH RUGLQDU\ FRXUVH RI EXVLQHV GHDOHQJ

([FHSW IRU WUDQVDFWLRQV DXWKRUL]HG XQGHU SDUDJUDSK RI WK
FRYHUHG WUDQVDFWLRQ NQRZLQJO\ HQWHUV LQWR D ORZHU WLHU F
SURSRVHG IRU GHEDUPHQW XQGHU &)5 SDUW VXEVDUW VXVS
YROXQWDULO\ H[FOXGHG IURP SDUWLFLSDWLRQ LQ WKLW WUDQVDFW
WKH)HGHUDO *RYHUQPHQW WKH GHSDUWPHQW RU DJHQF\ ZLWK ZK
SXUVXH DYDLODEOH UHPHGLHV LQFOXGLQJ VXVSHQVLRQ DQG RU GH

&HUWLILFDWLRQ 5HJDUGLQJ 'HEDUPHQW 6XVSHQVLRQ ,QHOLJL
/RZHU 7LHU &RYHUHG 7UDQVDFWLRQV

7KH SURVSHFWLYH ORZHU WLHU SDUWLFLSDQW FHUWLILHV E\ VXEPL
SULQFLSDOV LV SUHVHQWO\ GHEDUUHG VXVSHQGHG SURSRVHG IRU
YROXQWDULO\ H[FOXGHG IURP SDUWLFLSDWLRQ LQ WKLW WUDQVDFW

:KHU WKH SURVSHFWLYH ORZHU WLHU SDUWLFLSDQW LV XQDEOH W
FHUWLILFDWLRQ VXFK SURVSHFWLYH SDUWLFLSDQW VKDOO DWWDF

%\ FKQFNWKLW ER\ WKH SURVSHFWLYH SULPDU\ SDUWLFLSDQW LV SU

6HFWLRQHUWLILFDWLRQ 5HJDUGLQJ 'UXJ)UHH :F

7KLV FHUWLILFDWLRQ LV UHTXLUHG E\ WKH UHJXODWLRQV LPSOHPHQW
&)5 3DUW 6XESDUW) 6HFWLRQV F DQG G DQG D
DJHQF\ PD\ GHVLJQDWH D FHQWUDO UHFHLSW SRLQW IRU 67\$7(:,'(\$1'
FHUWLILFDWLRQV DQG IRU QRWLILFDWLRQ RI FULPLQDO GUXJ FRQYLF
6HUYLEFHV WKH FHQWUDO SLQW LV 'LYLVLRQ RI *UDQWV 0DQDJHPHQW
\$FTXLVLWLRQ 'HSDUWPHQW RI +HDOWK DQG +XPDQ 6HUYLEFHV 5RRP
:DVKLQJWRQ '&

&HUWLILFDWLRQ 5HJDUGLQJ 'UXJ)UHH :RUNSODFH 5HTXLUHPHQW
&HUWLILFDWLRQ

%\ VLJQLQJ DQG RU VXEPLWWLQJ WKLW DSSOLFDWLRQ RU JUDQW DJ
FHUWLILFDWLRQ VHW RXW EHORZ

7KH FHUWLILFDWLRQ VHW RXW EHORZ LV D PDWHULDO UHSUHVHQWD
ZKHQ WKH DJHQF\ DZDUGV WKH JUDQW ,I LW LV ODWHU GHWHUPLQH
IDOVH FHUWLILFDWLRQ RU RWKHUZLVH YLRODWHV WKH UHTXLUHPH
DJHQF\ LQ DGGLWLRQ WR DQ\ RWKHU UHPHGLHV DYDLODEOH WR WK
DXWKRULJHG XQGHU WKH 'UXJ)UHH :RUNSODFH \$FW

)RU JUDQWHHV RWKHU WKDQ LQGLYLGXDOV \$OWHUQDWH , DSSOLHV

)RU JUDQWHHV ZKR DUH LQGLYLGXDOV \$OWHUQDWH , DSSOLHV

:RUNSODFHV XQGHU JUDQWV IRU JUDQWHHV RWKHU WKDQ LQGLYLG
FHUWLILFDWLRQ ,I NQRZQ WKH\ PD\ EH LGHQWLILHG LQ WKH JUDQW
LGHQWLI\ WKH ZRUNSODFHV DW WKH WLPH RI DSSOLFDWLRQ RU XSI
JUDQWHV PXVW NHHS WKH LGHQWLW\ RI WKH ZRUNSODFH V RQ ILOH
DYDLODEOH IRU)HGHUDO LQVSHFWLRQ)DLOXUH WR LGHQWLI\ DOO
WKH JUDQWHV V GUXJ IUHH ZRUNSODFH UHTXLUHPHQWV

:RUNSODFH LGHQWLILFDWLRQV PXVW LQFOXGH WKH DFWXDO DGGUH
RWKHU VLWHV ZKHUH ZRUN XQGHU WKH JUDQW WDNHV SODFH &DWH
YHKLFOHV RI D PDVV WUDQVLW DXWKRULW\ RU 6WDWH KLJKZD\ GHS
HPSOR\HHV LQ HDFK ORFDO XQHPSOR\PHQW RIILFH SHUIRUPHUV LQ

,I WKH ZRUNSODFH LGHQWLILHG WR WKH DJHQF\ FKDQJHV GXULQJ W
VKDOO LQIRUP WKH DJHQF\ RI WKH FKDQJH V LI LW SUHYLRXVO\ LG
SDUDJUDSK ILYH

'HILQLWLRQV RI WHUPV LQ WKH 1RQSURFXUHPHQW 6XVSHQVLRQ DQQ
)UHH :RUNSODFH FRPPRQ UXOH DSSO\ WR WKLW FHUWLILFDWLRQ *U
WR WKH IROORZLQJ GHILQLWLRQV IURP WKHVH UXOHV

Controlled substance PHDQV D FRQWUROOHG VXEVDQFH LQ 6FKHG XOHV , W
6XEVDQFHV \$FW 8 6 & DQG DV IXUWKHU GHILQH E\ UHJXOD

Conviction PHDQV D ILQGLQJ RI JXLOW LQFOXGLQJ D SOHD RI QROR FR
RU ERWK E\ DQ\ MXGLFLDO ERG\ FKDUJHG ZLWK WKH UHVS RQVLELO
RU 6WDWH FULPLQDO GUXJ VWDWXWHV

Criminal drug VWDWXWH PHDQV D)HGHUDO RU QRQ)HGHUDO FULPLQDO V
GLVWQLXGLWLRQV XUH RU SRVVHVVRQ RI DQ\ FRQWUROOHG VX

Employee PHDQV WKH HPSOR\HH RI D JUDQWHH GLUHFWO\ HQJDJHG LQ V
JUDQW LQFOXGLQJ L \$OO GLUHFW FKDUJH HPSOR\HHV LL \$OO L
LPSDFW RU LQYROYHPHQW LV LQVLJQLILFDQW WR WKH SHUIRUPDQFH
SHUVRQQHO DQG FRQVXOWDQWV ZKR DUH GLUHFWO\ HQJDJHG LQ W
DQG ZKR DUH RQ WKH JUDQWHH V SD\UROO 7KLV GHILQLWLRQ GRHV
WKH JUDQWHH H J YROXQWHHUV HYHQ LI XVHG WR PHHW D PDWF
LQGHSHQQHG FRQWUDFWRUV QRW RQ WKH JUDQWHH V SD\UROO R
VXEFRQWUDFWRUV LQ FRYHUHG ZRUNSODFHV

&HUWLILFDWLRQ 5HJDUGLQJ 'UXJ)UHH :RUNSODFH 5HTXLUHPHQW
*UDQWHHV 2WKHU 7KDQ ,QGLYLGXDOV

7KH JUDQWHH FHUWLILHV WKDW LW ZLOO RU ZLOO FRQWLQXH WR SURY
D 3XEOLVKLQJ D 6WDWHPHQW QRWLI\LQJ HPSOR\HHV WKDW WKH XQOD
SRVVHVLRQ RU XVH RI D FRQWUROOHG VXEVDQFH LV SURKLELWH
VSHFLI\LQJ WKH DFWLRQV WKDW ZLOO EH WDNHQ DJDLQVW HPSOR\H

E (VWDEOLVKLQJ DQ RQJRLQJ GUXJ IUHH DZDUHQHV SURJUDP WR LQI
7KH GDQJHUV RI GUXJ DEXVH LQ WKH ZRUNSODFH

7KH JUDQWHH V SROLF\ RI PDLQWDLQLQJ D GUXJ IUHH ZRUNSODF
\$Q\ DYDLODEOH GUXJ FRXQVHOLQJ UHKDELOLWDWLRQ DQG HPSO

7KH SHQDOWLHV WKDW PD\ EH LPSRVHG XSRQ HPSOR\HHV IRU GU
ZRUNSODFH

F 0DNLQJ LW D UHTXLUHPHQW WKDW HDFK HPSOR\HH WR EH HQJDJHG
JLYHQ D FRS\ RI WKH 6WDWHPHQW UHTXLUHG E\ SDUDJUDSK D

G 1RWLI\LQJ WKH HPSOR\HH LQ WKH 6WDWHPHQW UHTXLUHG E\ SDUDJ
HPSOR\PHQW XQGHU WKH JUDQW WKH HPSOR\HH ZLOO
\$ELGH E\ WKH WHUPV RI WKH 6WDWHPHQW DQG

1RWLI\ WKH HPSOR\HU LQ ZULWLQJ RI KLV RU KHU FRQYLFWLRQ I
RFFXUULQJ LQ WKH ZRUNSODFH QR ODWHU WKDQ ILYH FDOHQGDU

H 1RWLI\LQJ WKH DJHQF\ LQ ZULWLQJ ZLWKLQ WHQ FDOHQGDU GDV D
G IURP DQ HPSOR\HH RU RWKHUZLVH UHFHLYLQJ DFWXDO QRWLFH
FRQYLFWHG HPSOR\HHV PXVW SURYLGH QRWLFH LQFOXGLQJ SRVLW
GHVLJQHH RQ ZKRVH JUDQW DFWLYLW\ WKH FRQYLFWHG HPSOR\HH Z
KDV GHVLJQDWHG D FHQWUDO SRLQW IRU WKH UHFHLSW RI VXFK QR
QXPEHU V RI HDFK DIIHFWHG JUDQW

I 7DNLQJ RQH RI WKH IROORZLQJ DFWLRQV ZLWKLQ FDOHQGDU GDV
G ZLWK UHVSHFW WR DQ\ HPSOR\HH ZKR LV VR FRQYLFWHG 7
DJDLQVW VXFK DQ HPSOR\HH XS WR DQG LQFOXGLQJ WHUPLQDWLRQ
5HKDELOLWDWLRQ \$FW RI DV DPHQGHG RU 5HTXLULQJ VXFK
LQ D GUXJ DEXVH DVVLVWDQFH RU UHKDELOLWDWLRQ SURJUDP DSS
6WDWH RU ORFDO KHDOWK ODZ HQIRUFHPHQW RU RWKHU DSSURS

J 0DNLQJ D JRRG IDLWK HIIRUW WR FRQWLQXH WR PDLQWDLQ D GUXJ I
SDUDJUDSKV D E F G H DQG I

% 7KH JUDQWHH PD\ LQVHUW LQ WKH VSDFH SURYLGHG EHORZ WKH V
FRQQHFVVLRQV L VSHFLILF JUDQW

State:

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 R 21 90, 21 02, ay 25, 1990

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

6HFWLRQFHUWLILFDWLRQ 5HJDUGLQJ /RE

7KH VXEPLWWHU RI WKLW DSSOLFDWLRQ FHUWLILHV WR WKH EHVW R
1R)HGHUDO DSSURSULDWHG IXQGV KDYH EHHQ SDLG RU ZLOO EH S
WR DQ\ SHUVRQ IRU LQIOXHQFLQJ RU DWWHPSWLQJ WR LQIOXHQFH
0HPEHU RI &RQJUHVV DQ RIILFHU RU HPSOR\HH RI &RQJUHVV RU D
&RQJUHVV LQ FRQQHFWLRQ ZLWK WKH DZDUGLQJ RI DQ\)HGHUDO F
JUDQW WKH PDNLQJ RI DQ\)HGHUDO ORDQ WKH HQWHULQJ LQWR
H[WHQVLRQ FRQWLQXDWLRQ UHQHZDO DPHQGPHQW RU PRGLLFD
RU FRRSHUDWLYH DJUHHPHQW

,I DQ\ IXQGV RWKHU WKDQ)HGHUDO DSSURSULDWHG IXQGV KDYH E
LQIOXHQFLQJ RU DWWHPSWLQJ WR LQIOXHQFH DQ RIILFHU RU HPSO
&RQJUHVV DQ RIILFHU RU HPSOR\HH RI &RQJUHVV RU DQ HPSOR\H
FRQQHFWLRQ ZLWK WKLW)HGHUDO FRQWUDFW JUDQW ORDQ RU F
FRPSOHWH DQG VXEPLW 6WDQGUG)RUP /// CC'LVFORVXUH)RUP W
ZLWK LWV LQVWUXFWLRQV

7KH XQGHUVLJQH GVKDOO UHTXLUH WKDW WKH ODQJXDJH RI WKLW
GRFXPHQW IRU DOO VXEDZDUGV DW DOO WLHUV LQFOXGLQJ VXE
JUDQWV ORDQV DQG FRRSHUDWLYH DJUHHPHQWV DQG WKDW DOO
DFFRUGLQJO\ 7KLV FHUWLILFDWLRQ LV D PDWHULDO UHSUHVHQQW
ZKHQ WKLW WUDQVDFWLRQ ZDV PDGH RU HQWHUHG LQWR 6XEPLVV
IRU PDNLQJ RU HQWHULQJ LQWR WKLW WUDQVDFWLRQ LPSRVHG E\ Y
SHUVRQ ZKR IDLOV WR ILOH WKH UHTXLUHG FHUWLILFDWLRQ VKDOO
DQG QRW PRUH WKDQ IRU HDFK VXFK IDLOXUH

6WDWHPHQW IRU /RDQ *XDUDQWHHV DQG /RDQ ,QVXUDQFH

7KH XQGHUVLJQH 6WDWHV WR WKH EHVW RI KLV RU KHU NQRZOHGJ
,I DQ\ IXQGV KDYH EHHQ SDLG RU ZLOO EH SDLG WR DQ\ SHUVRQ IRU
RIILFHU RU HPSOR\HH RI DQ\ DJHQF\ D 0HPEHU RI &RQJUHVV DQ RIIL
HPSOR\HH RI D 0HPEHU RI &RQJUHVV LQ FRQQHFWLRQ ZLWK WKLW FR
WR LQVXUH RU JXDUDQWHH D ORDQ WKH XQGHUVLJQH GVKDOO FRPS
CC'LVFORVXUH)RUP WR 5HSRUW /REE\LQJ LQ DFFRUGDQFH ZLWK LV
6WDWHPHQW LV D SUHUHTXLVLWH IRU PDNLQJ RU HQWHULQJ LQWR W
8 6 &RGH \$Q\ SHUVRQ ZKR IDLOV WR ILOH WKH UHTXLUHG 6WDWH
QRW OHVV WKDQ DQG QRW PRUH WKDQ IRU HDFK VXFK ID

 %\ FKGF WKLW ER[WKH SURVSHFWLYH SULPDU\ SDUWLFLSDQW LV S

6LJQDWXUH RI *RYHUQRU↑V \$XWKRUL]H

1DP R 6WDWH 7HUULWRU\

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, FHUWLI\ WKDW WKH /,+:\$3 3ODQ LV FRPSOHWH DQG WKDW /,+:\$3 JUD
FRPSLDQFH ZLWK WKH FHUWWRUQFDWLRQV FRQWDLQHGH KHUH

X

Governor's Authorized Official

Print Name