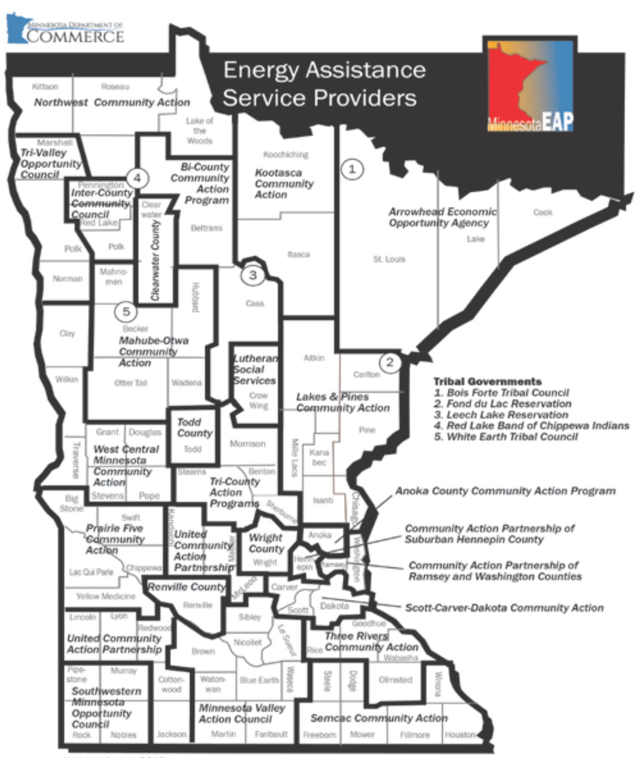
TAD

The Turn-Around-Document (TAD) includes Question & Answers and the full Power Point slide presentations.

FFY2017
EAP Annual Training

August 10 & 11, 2016
St. Cloud Holiday Inn & Suites



MINNESOTA DEPARTMENT OF COMMERCE

EAP Annual Training
Turn Around Document (TAD)

TAD Contents

1. **Q&As FFY2017 EAP Annual Training**
   The captured Q&A by section from Day One and Day Two
2. **Day 1 and Day 2 Training Slide Presentations**
   The full Power Point slide presentations
3. **Attachments from Training Slide Presentations**
   Attachment 1: 2016-2017 Minnesota Energy Programs Application, showing changes
   Attachment 2: Attendees by Organization FFY17 EAP Annual Training
   Attachment 3: Attendees by Last Name FFY17 EAP Annual Training

Training Logistics

Location:
- St. Cloud Holiday Inn & Suites

Dates:
- Wednesday, August 10, 2016
- Thursday August 11, 2016

Timeline:
- Registration first day at 8:00 AM
- Day 1 training 8:30 AM to 4:00 PM
- Day 2 training start 8:00 to 4:00 PM

Agenda:
- EAP Program Policies and Procedures

Attendees:
- EAP Coordinators & one additional staff person, for a total of 2 from each EAP agency

Day One FFY2017 Q&A

Program & Training Intro

Q: I understand we're looking at changing the primary benefit. Has anybody looked at changing the SMI instead?
A: 50% SMI that MN uses, is almost set in stone, but not quite. We could look at that, but we must consider the impact. Not just for our program, but there are numerous other programs that use our eligibility for their eligibility. We would need to discuss with others. It may not be a very good reason, but it is a strong one.

Application Processing

Q: Box in eHEAT said it should match App. But what if they call later with furnace problem? What should I do.
A: Check it in eHEAT and make a note.

Q: What is expected for monitoring?
A: From a monitoring standpoint, we're looking at whether the application agrees with eHEAT. If it was not checked in eHEAT but at some point later there was a furnace problem and you checked it, there would be something to connect to the furnace request (e.g., an ERR event)

Q: So, if App is checked, we don't have to follow up because they never called? So stay checked?
A: What are your obligations? None. eHEAT and the app will match. It doesn't preclude you from following up with the household. It is not a requirement, but if it is your process you can do that.

Q: I thought I heard that DOB in app, can't save if not filled in? Is that the final step or can't go past the page?
A: It is just on the page. eHEAT does not allow you to move on without the DOB. It will ask me for the required information. I believe it does the same thing on the save; demand a DOB.

Q: On the new logged status, if we change something does it automatically change or do we select it from dropdown.
A: No, you don't. JM will be covering this in more detail. But no, none of those can be manually manipulated…you have to do something to prompt a status or sub-status change.

Q: How current does the POA need to be? What if it's dated back 10 years?

A: EAP doesn't have a policy, but typically they are in force until they are revoked. We wouldn't necessarily know that. It is like having a will. It is created at some point….changed at some point.

Q: I assume that SAH are an exception to name on account match?
A: They are an exception to the general policy.
Q: is it mentioned in the Manual?
A: In the manual it says follow the SAH policy, I don't know if it is explicitly SAH. For the purposes of this training SAH has not changed. Don't require any additional identifying information.

Q: We have used App Withdrawal as last resort, but sounds like we can use it more routinely?
A: Could I just have them reapply with the new 3-month period? Yes, you can freely do that. Have them withdraw the app and move it along.

Q: A HHD changed members and person has left and income no longer obtainable….we have been spending time getting that income info tracked down. But sounds like we should just have them reapply? Do they need a new app under that scenario?
A: What they need is the relevant income information for the relevant time period related to the new signature page. Would have to send new signature page.

Q: In that situation, if just need a new signature page can we do the documentation on the App/in eHEAT about the HHD member changes?
A: Yes, certainly. That would be expected and yes you can.

Eligibility

Q: Grandma is going to nursing home, but keeping farm. Might go back to farm on weekends with family. Eligible at their home?
A: How would you determine if actual institution or not? If someone is in a nursing home and expects to move back home within the program year, can count as a household member. If institution and no one is at the farmstead, can't apply from the nursing home. Must wait until they move back. If someone is still at the household, can count the member in the nursing home.

Q: An example of grandma gets hip surgery, goes into hospital for 1 month for recovery, expected to return home. Only one in HHD. Can she be served?
A: Yes, because they would be back within the program year. It's a temporary situation and it's their residence.

Q: If someone is in jail and expected to get out, same situation?

A: If someone's in jail for a week or something it is temporary, but if someone is in prison for years, then can't be included in the household. Have to use your best judgement regarding where their primary residence will be for the year. There will be something of a balancing act.

Q: Person recuperating in nursing home, expecting to go home, can apply from within the nursing home? But cannot apply from jail?
A: I will check but I believe if you are not currently residing in the home cannot apply.

Q: Doesn't this fall into the same category as they move in later? Don't they have to reside in the home when application is signed? In case of someone applying, and Grandma is in nursing home but coming back in Nov. I would expect to add Grandma in November, wait and see, because she might not actually come in November.
A: If a household applies, grandma lives with them but is currently in the nursing home, can they put her in the application? Yes, she is a current member of the household and is expected back within the program year.

Q: Grandma applied on her own, and was in nursing home. We denied her. She never did come home.
A: Household of one. At time of application she is in the nursing home. She has to be currently residing in the home in order to apply. If something happens later on that she doesn't return, then you've done the right thing all along. If she did return, she could get energy assistance.

Income

Q: We should never be denying anyone for insufficient income info because they can always sign something?
A: As a last resort, if cannot obtain pay stubs, or a printout of what their pay is, or can't get a signed statement (explains valid reasons for why records not available), then when you've documented an inability to obtain valid documentation, if all else fails, can get the household to sign a statement.

Q: You have required pay period info, but need other info, do you need to ask for pay date info?
A: If you have all the pay period end data info needed to determine income, can use that. If need to get missing paystubs because you don't have either, then need to get pay date.

Q: If one person has all their info and another HHD member doesn't have all info, and you're asking for info.

A: Don't need to purse that other information. Can concentrate on the required information. No reason to go back and ask for the preferred pay date.

Q: Multiple people in HHD with income, one has all, another is missing a bunch of stuff. App says they are signing on behalf of all HHD members. Does that give teeth to get income info from employer?
A: would it say it wouldn't be. If you another person signing the application, doesn't necessarily allow the employer to give information about someone else. Have the household get the letter from the employer. The member should either provide their paystubs or get the information from the employer.

Q: Gross wage release form that can be sent and signed by another adult that we don't have wage info for.
A: If the household is uncooperative and not helping themselves get the benefit, then they are denied.

Q: I run into it when they have been working out of state, HR won't call back, etc.
A: In those situations you deal with it as DB laid out.

Primary Heat

Q: Does the lack of biofuel replace self-cut wood?
A: There's no relationship. They're in the vendor drop down. You'd use whatever best described the situation. We discussed when there's a lack of biofuel they choose self-cut wood. Want actual meaning. Benefit would be same except for what saying in the pull down.

Q: Self-employment for farmers, if they have separate tanks, is it business use of home.
A: No, it is not business use of home if it is on a separate billing. No, it is not business use of home. Might have office, but aren't milking cows. Not use business use of home because you have the home usage. If you have a giant energy bill, might assume it is for business. There are some bills that are questionable. Use experience and may need to check if bills are unreasonable

Q: If someone is heat in rent, but electric vendor is unable to provide consumption. When you process it, eHEAT wants to do a direct payment. I usually override that and send it to the electric vendor because there will be usage there.
A: In direct pay situation, when no consumption, 100% goes to direct pay. Some benefit is high enough you don't want to put 100% to electric. With that in mind, think it is fine what you did.

Q: Is there a way to change from Self-cut or No Biofuel avail to make the payment to the HH to buy local wood
A: Yes you can change, If you don't have usable biofuel, you have the flexibility to direct the PHB to the HH for buying their own or to the electric co or other heating vendor.

Crisis

Q: On Crisis entry pre-money, are there options?
A: Not required, wait and process and go. Lot you can do before the money comes. Should want to help the households, if nothing you can do, can still enter in eHEAT.

Q: Still checkbox in eHEAT on H&H screen that you sent a referral?
A: Yes

Q: Pay as you go, how do you know they are paygo?
A: Someone has to know, client or somehow you find out. The client will tell you.. We are anticipating this will become more routine.

ERR Eligibility

Q: What happens if you don't get proof of ownership, and repair is $300, but later have to do a replacement and you find out they aren't an owner. What responsibility does agency have for the $300 repair?
A: You operate with the information on hand. You discover the information has changed. The household has signed a document saying the information provided is true and accurate, the SP is not liable. You're liable if you know they are a renter and you provide them ERR benefits.

ERR Benefit

Q: EC motor – is it always required in replacement, or if possible?
A: It's required to the extent you can put it in, there are exceptions and those should be documented.

Q: On slide 136 it says price must follow existing policy, itemized invoices, or bids.
A: This was to clarify the policy is you need itemed bids or itemized invoices. The exception is if pre-set prices, but if the work deviates from pre-set price the work needs to be itemized.

Q: Are standing bids bids or set prices? For mobile homes we have standing bids.
A: Yes, a standing bid is a set price.

Q: What is the rule on replacement for mobile homes on high efficiency furnaces?

A: We talked to Jake in WAP about Mobile Home and high efficiency. He says that is not a modification, so it is possible to put into a mobile home. If you can't get one, due to time element, not available, there could be exceptions. But generally try to install 93%. Generally want to restart heat as efficiently as possible, but don't want to sacrifice time for the sake of efficiency. No reason should go without heat for a period of time due to efficiency.

Q: On mobile home, if size of furnace is already in there and should replace with same size (80%) is that acceptable?
A: No, should try to get a more efficient furnace. As efficient as you can.

Assurance 16

Q: If doing more than one Proactive ESS program a year, do you want the report all at once, or as the program ends?
A: MS It depends a little bit. If an agency is doing more than one Proactive do we prefer one at a time or all at once? It would be good to get the report after the first time it would be good to see and know the results.

Q: When are the reports available to start completing?
A: Available online right now. FFY16 appendices

Application & Mailing

LS: Do you tell us when we can start handing out Apps?
KB: Yes, you wait to hear from us.
JM: It is when all the applications are sent (i.e., pre-logged, recerts, and blank apps).

Performance Measures

Q: In eHEAT can we calculate energy burden? Could be useful on the WAP side – can give high priority to high burden HHDs.
A: Not right now, but we could show that if it's useful in some way.

EAP Survival: What I Wish I Knew

Request from LES: Can Commerce compile all the Local Questions and send them to all SPs?

Day Two FFY2017 Q&A

Vendor Management

Q: If have vendor who calls each month for password reset?
A: Always send to eheat.doc. If they want to call anyone, it should be Jon Brown or Jeff Mitchell.
A: You might want to consider sending an email too because it is the most reliable.
A: Now it is best to go through eHEAT.doc so I only get the things that really need my attention.

Q: I've been getting lots of calls from vendors with expired passwords. What's the rule that makes them expire?
A: 60 days. This is the time of year it is going to happen. Let's say vendors have multiple users; some have moved on. We don't want to give those people access. It is a security thing that we put with every year. It cleans up their access. None of them are emergency situations. If they wait a few hours or a day it is not a big deal.

Q: Is it possible to automatically reset them?
A: That could cause a lot of problems, best to just do individual resets as needed this time of year.

Q: I've had vendors and told them to click on the link in eHEAT if profile edit, but it doesn't work out for them.
A: There's a feature in eHEAT, before you use up your five turns, you can say "can't access eheat." You fill in your name, username, and email. It has to be exactly what it is. It is because they failed to match those credentials exactly. We only hear about the times people are frustrated. I know the functionality works. Usually it is because they changed how they type their credentials.

Q: I take the export from eHEAT and compare to vendor master. Most recent time, there weren't phone numbers on it.
A: I don't know the last time you did that. I think I added the phone numbers on the export for the vendor information. A good thing to do is keep your active vendors square because it will stop payments from going who knows where.

Q: Is there a fax number for vendor registration?
A: I'll send it to you. Send to all*

Vendor Monitoring

Q: We talked in past about group monitoring for big, shared vendors. Is that still on the board at all?
A: We still intend to do it, we tried and had some issues. With staff turnover it has been hard to implement.

eHEAT Enhancements

Q: When we request SE worksheet, we'll have to be explicit in the body of the letter regarding the business start date, e.g. in Feb will need Dec, Jan, Feb. We may end up with some problems when they come back in, unless we put good instructions in the body of the letter.
A: On the self-employment worksheet, the timing can get complicated and in the past it has taken instructions, which were easy to write on the form. No longer possible, so need to be explicit when you attach the worksheet.

Q: When we want to deobligate a refund & related payments, but not sure if scheduled payments have gone out or not, we can still hit that?
A: What defines related payments is you have a refund and related means same household, same vendor. It is not going to check from CPE when you're doing Xcel. All it does is say you don't want these payments from this household, this vendor, you don't want future ones from this household and vendor.

Q: Age on screen is real time?
A: That is real time. So, it will change. It calculates every time that DOB is presented on the screen. It is not stored anywhere; we're just representing the DOB how we normally discuss age.

Q: On Crisis screen addition (slide 82), have added a link on HHD# and you said it will open Application Summary, will it open into another screen?
A: It behaves the same way as when you're on the application search. Also, the "secondary fuel: Y" will actually be a red 'yes'.

Q: This just goes to show the importance of EACA, and these things were talked about heavily, but they won't be perfect. I want to commend everyone who took the time work on these and bring these to fruition.
A: It is important to note these things are new and some may not work as intended so we need to hear immediately. It may be you don't understand the intentions or something is wrong that needs to be fixed. If you get something that doesn't work, don't send us a screenshot of an "our apologies" page. Send us a screenshot of what you were doing before.

Local Plan & ICD

Q: MS stated some attachments do not have our SPID#, do you want them to add them in the title?
A: Doesn't have to, but you can do.

Q: If I notice a typo and I correct it, do you want me to mark that as a change?
A: No, you do not need to. This is a good question. In the conversion, some of the formatting might be off. Correct any of those minor issues. It's not a substantive change, so don't mark it as a change.

Q: Is it true that if they don't click change. Does the new good formatting get uploaded for next year? So marking the change is just to indicate it so State can review.
A: Yes,

Q: ON fiscal auditing part, it doesn't allow wrapping and the font got so small it's illegible. It needs to wrap.
A: Could be an issue we need to fix in the form if many people are finding it to be a problem. Submit a Word document with your response and indicate which question it is for. We can work with that information.

Q: When we send LP for initial draft review, just want LP/ICD, or also want attachments (e.g. board)?
A: Yes, send all related attachments, so we know if we need to ask for something forgotten or if wrong thing was sent.

Contracting

Q: ICD signed by ED or board equivalent. I have an ED, do I need both?
A: If board has given the ED the authority to sign, that is sufficient. Would need to supply the documentation that grants the authority (e.g. board minutes)

Q: I have two admin users, should I submit all?
A: Yes, submit an agreement for each Admin User.

Program Auditing

Q: For file samples, strict deadline? Can SPs get a list earlier before you arrive to be more prepared?

A: I send the sample one day in advance. There's a balance between you being prepared & us getting a realistic look at your program. There's an integrity responsibility, need to ensure sample's integrity.

Q: With Findings &Recommendations what is Commerce's results over years, for example instituting changes. Data cannot be perfect with 1,000s of applications.
A: I think we're showing this give you an idea of what we're trying to accomplish. Having LP/ICD, iPAV, fPAV, etc. hopefully will never get us in a situation where an SP is working so poorly they aren't able to serve HHDs. Except for one issue, for 15 years we haven't had that problem.

Q: Could we have something that explains what a finding means to a program. For example, for HeadStart a finding may mean you essentially could lose your grant.
A: We'll consider it. What if we say a finding is not xyz. That might be effective.

Q: Getting lists ahead of time. I got my list the day my PPA showed up & that makes it hard. Would be good to get it at least the day before.
A: We'll be looking at that before the fPAV start up.

Q: We work our files via laser fiche, I was uncomfortable giving direct access to the files. Would prefer to put them on a flash drive. Also, I have limited laser fiche licenses.
A: That might be specific to your visit.

Environmental Initiative (Mikey Weitekamp)

Q: Only those 7 counties now?
A: Yes, but the aspiration is to be statewide, hopefully.

Q: Only MN Power customers?
A: No, anybody in that region.

Weatherization Assistance Program

Q: In wood HHD, are you able to utilize a woodstove like Mikey talked about?
A: Yes, absolutely.

MINNESOTA DEPARTMENT OF COMMERCE

DAY 1

Energy Assistance Program

FFY2017 EAP Annual Training

Welcome & Introduction

John Harvanko

Director

Office of Energy Assistance Programs

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Welcome and Introduction

Topics

- Logistics
- Introductions
- Agenda for Today and Tomorrow
- FFY16 Outcomes
- FFY17 Approach
- Overview of Training

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Logistics

- Filming
- Breaks (about every hour & a half)
- Lunch served (Around noon)
- Restrooms outside conference room

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State EAP Staff

- Amanuel Asghedom
- Ken Benson
- Shamiere Bridgeford
- Jon Brown
- Doug Burns
- Kathy Hochreiter
- Jeff Mitchell
- Bob Odell
- Michael Schmitz
- Sandra Seemann

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Other State Staff

- Jana Dietering, Commerce Fiscal
- Jake McAlpine, WAP
- Tracy Smetana, PUC
- Curtis Zaun, Assistant Commissioner - Commerce

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Other Special Guests

- Kevin Adams, CAPRW
- Andre Koen, AM Horizons Training Group
- Keith Lusk, Lakes & Pines
- Randy Mattfield, Kootasca
- Mike McGlone, HeatShare
- Marcy Paulson, CAPRW
- Lori Schultz, Tri-CAP
- Mikey Weitekamp, Environmental Initiative

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New Coordinators/Other Staff

Introductions

- New since last year's training
- Please stand up, tell us your name and what organization you are from
- Other Coordinators please offer your time and knowledge

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Agenda Day One

1. Welcome & Intro
2. FFY16 Review
3. Asst. Commissioner Curtis Zaun
4. FFY17 Approach
5. Application Processing
6. Eligibility
7. Income
8. Primary Heat
9. Crisis
10. ERR Eligibility
11. ERR Benefit
12. ERR Procurement
13. A16
14. Application & Mailing
15. Notifications
16. Perform. Measures
17. EAP Survival
18. Debrief

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Agenda Day Two

1. Welcome Back (8AM)
2. Executive Director
3. Diversity Training
4. Vendor Management
5. PUC
6. Vendor Monitoring
7. eHEAT Enhancements
8. Long break (45m)
9. Local Plan & ICD
10. Contracting
11. Oversight
12. Program Auditing
13. Fiscal Management
14. Environment. Initiative
15. WAP
16. HeatShare
17. eHEAT Next Generation
18. Debrief
19. Adjourn

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Welcome

Curtis Zaun
Assistant Commissioner
Division of Energy Resources

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Q&A

Curtis Zaun

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MINNESOTA DEPARTMENT OF COMMERCE

FFY16 Outcomes

John Harvanko

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FFY16 Outcomes

Outputs

- 133,000 total HHDs served
- 40,500 total Crisis events
- 4,050 total ERR repairs/1,090 replacements
  - Avg. repair: $380
  - Avg. replacement:$3,590
- $113M total funding

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FFY16 Outcomes

Spend Down Outputs

- 3,700 additional HHDs served with PH
- $1.75M additional PH funds distributed
- 15,000 HHDs received Crisis benefits over $500
- $6M additional Crisis funds distributed

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FFY16 Outcomes

Application Count Comparison

Data from August 1, 2016			
Status	As of 8/1/2016	As of 8/1/2015	As of 8/1/2014
Approved	132,858	138,885	156,157
Denied	16,352	20,550	15,388
TOTAL	149,210	159,435	171,545
Change from Previous Year	-6.4%	-7.1%	

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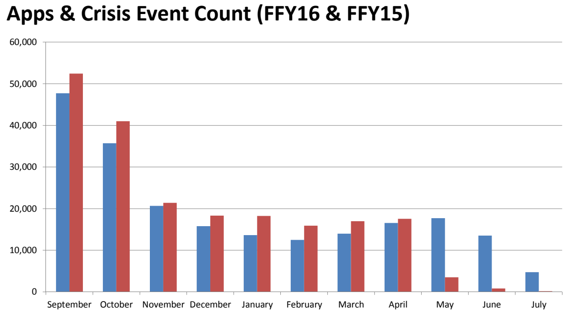
FFY16 Outcomes

Apps & Crisis Event Count (FFY16 & FFY15)



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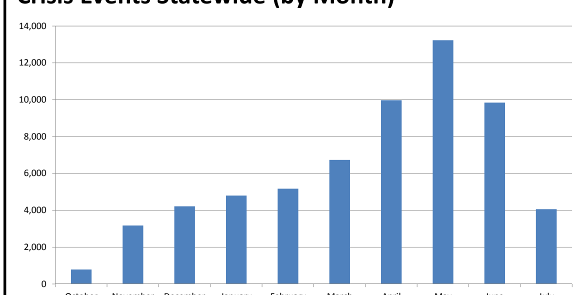
FFY16 Outcomes

Crisis Events Statewide (by Month)



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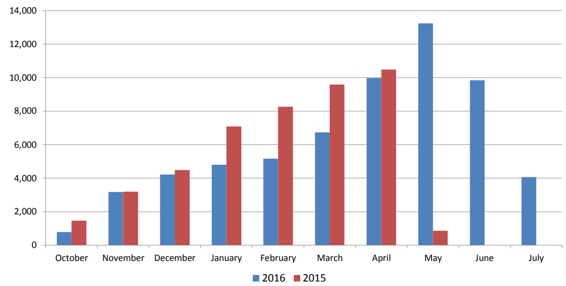
FFY16 Outcomes

Crisis Events by Month (FFY16 & FFY15)



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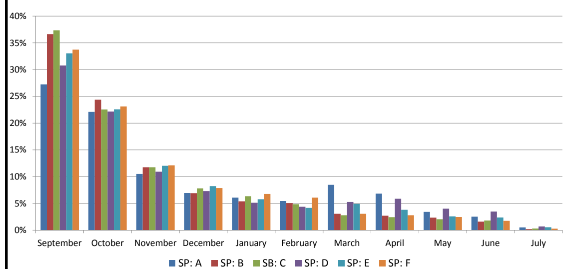
FFY16 Outcomes

Applications Received: Different SPs, Different Flows



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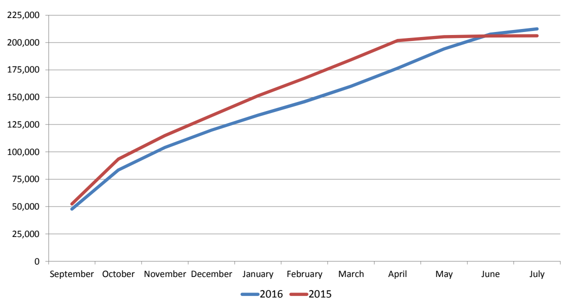
FFY16 Outcomes

Cumulative App & Crisis Event Count (FFY16 & FFY15)



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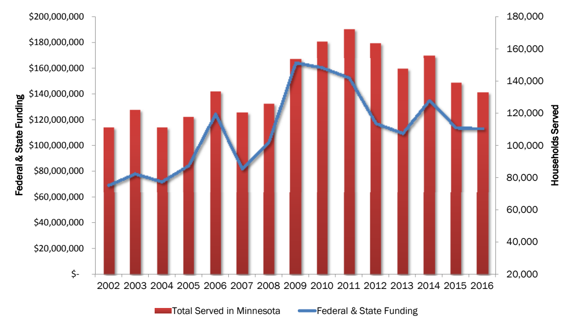
MN EAP Over Time



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Thank You!

Challenges

- Extend program
- State Staffing

Thank you!

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FFY17

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FFY17

FFY17 Approach

- Funding may be similar to FFY16, but different
- No big changes – implementation consistency
- Minor improvements
- May run out of funds again ???
- Average PH benefit $550
- 5% EAPWX Transfer
- ERR October 1 of $1M

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FFY17

FFY17 Policy Development

Many sources for the improvements

- Program Audits
- Issues identified during the years
- PAC
- State Staff
- EACA

AND specially,

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FFY16 JAD Participants

- Rachel Bagley
- Mandy Braaten
- Catherine Fair
- Richard Fuchs
- Mary Heilman
- Keith Lusk
- Joan Markon
- Randy Mattfield
- Jean Pelletier
- Janice Renner
- Greg Rottach
- Judy Steinke
- Pam Wild

We couldn't have done it without!
Thank You!!!

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Overview of Training

Intentions

- Prepare for FFY17
- Enable Train-the-Trainer

By training on:

- Program and policy changes
- Areas of concern
- Data Accuracy
- Improved controls

Excludes: EAP 101, policy making, eHEAT development

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Overview of Training

Approach

- PowerPoint presentations by topic
- Question and answer between – hold questions
- Will capture and issue a TAD
- PowerPoints are available on web by sections
- Films will start being available next week

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Application Processing

Shamiere Bridgeford

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Application Processing

Topics

- New Application Sub-Status
- Power of Attorney (POA)
- Application withdrawal
- ERR Question
- Date of Birth (DOB) for Non-primary policy clarification
- No Name Match on Account

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Application Processing

New Application Sub-status

Issue:

Situations exists where SP wants to input/update info in eHEAT, but do not want the app status to change from ‘Logged’ to ‘Incomplete’

FFY16 eHEAT Functionality:

An app changes from ‘Logged’ to ‘Incomplete’ whenever any data is entered or updated

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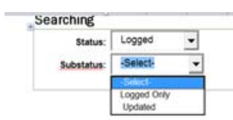
Application Processing

New Application Sub-status

FFY17 Enhancement

- New ‘Updated’ sub-status results if any info has been entered in eHEAT.



- Sub-status changes will be more thoroughly shown as part of the **eHEAT Enhancements** section of training

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Application Processing

Power of Attorney (POA)

- The purpose of POA is to appoint someone (the “attorney in fact”- ***authorized person***) to make decisions, sign documents and carry out important acts for the person granting that power (the “principal”- ***EAP client***) when the principal is unable to do so themselves.

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Application Processing

Power of Attorney (POA)

- New policy section called Power of Attorney (POA) explains the POA & requirements for EAP.
- Also covered as part of the Application section
- Why is it important to EAP
  - Allows people who may not otherwise be able to get services without assistance from another person.
  - Fulfills data privacy and security requirements.

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Application Processing

Power of Attorney (POA)

- Types of POAs allowable for EAP
  - Statutory short POA form will be most commonly presented
    - https://www.ag.state.mn.us/PDF/Consumer/PowerOfAtty.pdf
  - Common law POA form may also be valid
    - Specific questions on acceptability should be sent to eap.mail@state.mn.us

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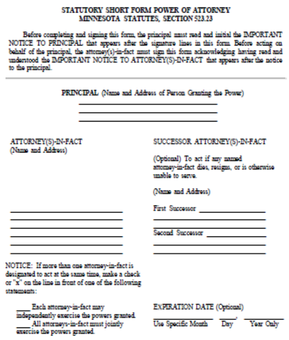
MINNESOTA DEPARTMENT OF COMMERCE

Application Processing

Power of Attorney (POA)
Statutory short POA form pg. 1

- Identifies the 'Principal' (EAP applicant)
- Identifies 'Attorney(s)-In-Fact' (person authority or powers have been granted to & can sign EAP app)

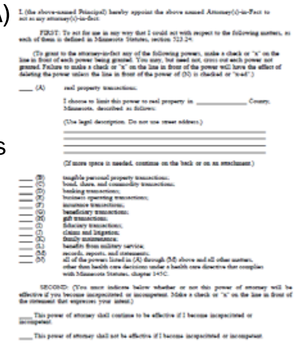


37

Application Processing

Power of Attorney (POA)
Statutory short POA form pg. 2

- Identifies specific powers or authorities granted

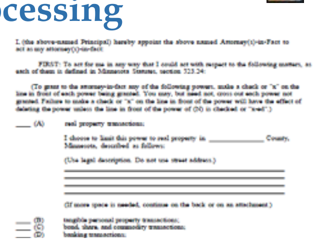


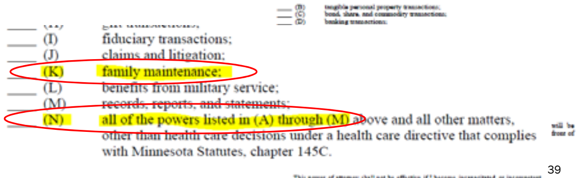
38

Application Processing

Power of Attorney (POA)
What power is acceptable for EAP?

- Family maintenance
  - (K) family maintenance
  - (N) all powers (A) - (M)





39

Application Processing

Power of Attorney (POA)

Other requirements of the POA:

- The POA must be signed by the principal (i.e. the EAP applicant) and notarized
- A photo copy is acceptable

40

Application Processing

Application question designed to identify non-working furnaces updated

Intent of update:

- Attempts to reduce # of false positive responses
- Puts onus on HHD to contact SP if their furnace is not working
- Sets a standard for minimum requirements while still allowing flexibility for SP to conduct follow-up

41

Application Processing

Application question designed to identify non-working furnaces updated

- **FFY17 App question:**

> **Homeowners:** Do you own or are you buying your home? ☐Yes ☐No
> If your furnace/heating system is currently NOT working, check this box: ☐
> Call us immediately at <<SP PHONE>> if your furnace/heating system is not working

NOTE:

- SP is not required to follow-up with HHD solely based on this box being checked
- Required response only when the HHD calls the SP

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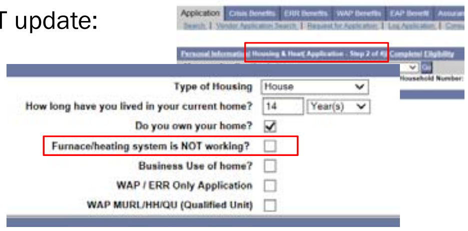
MINNESOTA DEPARTMENT OF COMMERCE

ERR Question

Application question designed to identify non-working furnaces updated

- eHEAT update:



43

Application Processing

Application withdrawal by HH

Issue:

- Increasing numbers of app withdrawals
- Identified need to standardize requirements when a HHD wants to change eligibility months
- Current policy covers app withdraw & reactivation
  - Only requirement is HHD tells SP they want to withdraw their app

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Application Processing

Application withdrawal by HHD

Policy: Handling “Over Income” Apps (paraphrased)

- Income changes for a HHD previously denied ‘Over Income’
  - HHD must sign & date new signature page
  - New signature page is added to original app
    - Income info for ***<u>all current members</u>*** is obtained & based on new signature page
- If <u>**prior**</u> to determining eligibility, the HHD is ‘Over Income’ <u>**and**</u> the HHD wishes to resubmit a later eligibility period, it is *not necessary* for the SP to deny & reactivate the app in eHEAT unless that is the SP’s preferred method.
  - New signed/dated signature page & notes are sufficient documentation.

Application Processing

Application withdrawal by HHD

Policy: HHD Membership Changes Pre-Eligibility Determination

- HHD may provide all member & income info based on the original application.
- If HHD is unable to provide that info, need to withdraw the app & reapply with info for HHD’s current membership.

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Application Processing

Date of Birth (DOB) for Non-primary HHD Members Policy Clarification

Policy:

- The DOB is required for all household members for the application to be completed.

eHEAT:

- Requires the application have a DOB for all HH members prior to saving
- This is not a change from the prior year

47

Application Processing

DOB for Non-primary HHD Members Policy Clarification

Why are DOBs required:

- Required reporting for the federal HH report
  - For required federal reports and program eligibility the DOB identifies children under six, seniors and minor children with earned income.
- Likely important for other programs (e.g. ROMA)
- Needed to verify Social Security Numbers
- An identifier to help distinguish persons with the same name

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Application Processing

DOB for Non-primary HHD Members Policy Clarification

Application Requirements Tool:

- Document provides guidance about what application information must be obtained from acceptable sources

The tool has three types of text:

- Yellow highlighted text box indicates required information
- Red text box lists reasonable methods to obtain information, including prior years' eHEAT data or data from other sources
- Non-highlighted or boxed text: indicates information that is not required to process the application

NOTE: All information supplied by the HH should be updated in eHEAT

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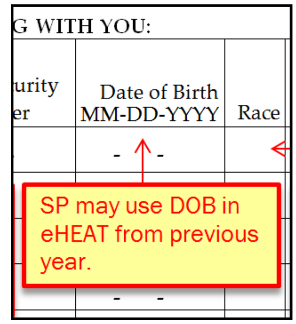
Application Processing

DOB for Non-primary HHD Members Policy Clarification

Application Requirements Tool:

- May use from FFY17 application data **or** previous application information, if not provided
- **NOTE:** Yellow highlighted box with red border indicates REQUIRED information



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Application Processing

No Name Match on Account

- Review last year's implementation
- Provide clarification to situation
- There have been <u>no</u> changes to the policies

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Application Processing

No Name Match on Account

Issue:

- Sometimes a HH member name is not on the energy account

Focus Area:

- Ensuring payments go to the correct account is a key control
- Addressing national LIHEAP integrity efforts
- Addressing scrutiny by audits/assessments conducted over EAP

52

Application Processing

No Name Match on Account

Developed controls to address risk

- Policy and procedure to get matches or make assurances when there is no match
- eHEAT pulldown to help measure and audit
- There have been <u>no</u> changes to the policies

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Application Processing

No Name Match on Account

Policy

- Section **Name on Energy Accounts** , Chapters 3 & Chapter 4 (paraphrased):
  - Name on account should match the name of a household member on the application
  - If not, the Service Provider must get assurance the grant is going to intended recipients at the intended address

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Application Processing

No Name Match on Account

Assurance Procedure (paraphrased):

- Contact HHD, ask why account is not in a HHD members' name.
- Ask the HHD to get a HHD name on account. SP helps identify barriers & assists the HHD to remove these barriers.
- If unable to get the account in a HHD member's name, SP will verify the reason the HHD names do not match, ensure the account is for the address of the HHD (e.g., confirm with vendor or landlord).
- If a match of the account address and the HHD address <u>cannot</u> be verified, the SP will deny for insufficient information.
- SP makes notes in eHEAT.

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Application Processing

No Name Match on Account Process

No Name Match on Account Process Examples	Assurance Steps	*Match or No Match*	Addt'l Notes
Client Name on Energy Vendor (EV) Account agrees to application name	None	Match	None

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Application Processing

No Name Match on Account Process

No Name Match on Account Process Examples cont.		Assurance Steps	*Match or No Match*	Addt'l Notes
Variation of name on EV Account *(e.g., nicknames, slight misspellings, truncated names)*	Jon Brown vs John Brown = same person	None	Match	None
Variation of name on EV Account *(e.g., formal vs informal)*	Jeff Mitchell vs Gale Mitchell = same person	Contact HH, verify client & EV account names are for the same person, ask HH to update the information	Match	Document outcome (e.g., 8/16: HH legal first name is Gale, but goes by Jeff.

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Application Processing

No Name Match on Account Process

No Name Match on Account Process Examples cont.		Assurance Steps	*Match or No Match*	Addt'l Notes
Name on EV Account does not agree	Acceptable Rationale the names do not match (e.g., *landlord name, prior tenant)*	Contact HH, ask why not in a HH mbr name, HH should get a HH mbr name on account, *if possible*. The SP will assist the HH to remove any barriers. If unable to update HH account name, verify service address is for HH.	No Match– Process app	Document outcome and acceptable match (e.g., 8/16: HH account in LL's name.) **NOTE:** If unable to verify address, HH denied & outcome documented.

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Application Processing

No Name Match on Account Process

No Name Match on Account Process Examples cont.		Assurance Steps	*Match or No Match*	Addt'l Notes
Name on EV Account does not agree	Unacceptable rationale the names and address do not match *(e.g., account name is in another parties' name* AND *address cannot be verified)*	Contact HH, ask why the account is not in a HH mbr name, assist HH as needed by reducing barriers to get their name on account, verify service & HH addresses match	No Match	Document outcome (e.g., 8/16: Acct name in prior tenant's name. Address unable to be verified. Denied HH for insufficient information) **NOTE:** If unable to verify address, HH is denied & outcome documented.

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Q&A

Ken Benson

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Eligibility

Doug Burns

Eligibility

Topics

- Ineligible non-citizens
- Institutions

Ineligible non-citizen (Chapter 5)

Commerce has received questions regarding ineligible non-citizens. Questions, such as:

- What questions do I ask regarding SSN or approved alternative documents?
- How do I explain we count their income, but not them?
- What do I say when asked why they are not listed on the application?

63

Ineligible non-citizen (Chapter 5)

Ineligible non-citizens are prohibited from receiving federal or state program assistance

Ensure LIHEAP-eligible non-citizens and citizens, including children residing with ineligible non-citizens, are not discouraged, delayed or denied enrollment or faced with additional access barriers by EAP procedures

Staff should process apps with the belief a HH member is eligible unless you learn otherwise

64

Ineligible non-citizen (Chapter 5)

Questions to ask when no SSN or alternative number is provided:

- Do you or someone in your HHD have an SSN?
- Do you or someone in your household have a Individual Tax Identification number (ITIN)?
  - Would you like information to apply for a SSN or ITIN?
- Do you or someone in your HHD have an identification number provided by the US government?

65

Ineligible non-citizen (Chapter 5)

If an ineligible non-citizen is a HHD member, their income is counted but they are not counted as a HHD member. (See USDHHS IM LIHEAP-IM-2014-07)

- The ineligible member's income is included because their income:
  - Is support to the household
  - May be used for pay for energy
  - Is similar to counting regular monetary support from family outside the HHD

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Ineligible non-citizen

Examples of ineligible non-citizens

- Foreign students
- Tourists
- People who are undocumented
- People who overstayed their visa

Note: The above individuals may have a valid SSN, ITIN or I-94 number, etc.

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Eligible non-citizen

Also defined as "Qualified Aliens"

8 U.S.C. § 1641 : US Code - Section 1641

Examples:

- Legal Permanent Residents
- Asylees
- Refugees
- Aliens:
  - Granted conditional entry (prior to Apr 1, 1980)
  - Battered spouses
  - Battered children
  - Victims of a severe form of trafficking

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Ineligible non-citizen (continued)

If no one on the application has an SSN or an authorized alternative number, do not ask, prompt or investigate the citizen or non-citizen status of the household members

- If, without any prompting or investigating, a SP learns a HH includes ineligible non-citizens, the SP must follow *Ineligible Non-Citizens* procedures in the manual

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Ineligible non-citizen (continued)

SP should not assume a person's program eligibility status or solicit information

- Without asking, you may get unsolicited information from the HH verbally or in writing indicating they are an ineligible non-citizen
- SP cannot ignore known information about the status of individual HH member

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Ineligible non-citizen (continued)

Examples of HHDs that include ineligible non-citizens and the respective procedures.

We will look at each of the following:

- At least one adult is an eligible individual in a HHD with other eligible or ineligible non-citizens
- All adults are ineligible non-citizens that reside with one or more eligible children
- A HHD is only comprised of ineligible persons

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Ineligible non-citizen (continued)

At least one adult is an eligible individual in a HHD with other eligible or ineligible non-citizens

- The eligible adult is the primary applicant
- Ineligible non-citizen HHD members should be marked as "inactive" in eHEAT. Then they are not counted in the HHD size
- The 3-month income is calculated from all sources (both eligible and ineligible non-citizens) and recorded in eHEAT in 'Total HHD Income'
- Make notes in eHEAT of the ineligible non-citizens residing in the residence

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Ineligible non-citizen (continued)

All adults are ineligible non-citizens that reside with one or more eligible children

- If all adults are ineligible non-citizens, app should be signed by an adult applicant on behalf of the eligible child(ren). Make an eligible child the primary member
- Mark ineligible non-citizen HHD members as "inactive" in eHEAT so they are not counted in HHD member size
- The 3-month income is calculated from all sources (both eligible and ineligible non-citizens) and recorded in eHEAT in the 'Total HHD Income'
- Make notations in eHEAT about the ineligible non-citizens residing in the residence

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Ineligible non-citizen (continued)

HHD is comprised of ineligible non-citizens

- If, without any prompting or investigating, it is determined there are no eligible HHD members, the app is denied
- Use "Insufficient Information" eHEAT denial reason
- Make notations in eHEAT on the ineligible non-citizen status

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Ineligible non-citizen (continued)

Individual Taxpayer Identification No. (ITIN)

Dept. of Treasury- IRS letter lists the HHD member's name and their assigned ITIN #

The IRS letter says having an ITIN does not change your immigration status or make you eligible to work in the US

- The letter provides a US tax number – nothing more
- Process the app as though they are eligible non-citizens…don't verify/don't ask
- Exception: HHD member states or provides information that he/she is an ineligible non-citizen

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Institutions

Definition of Institution

A place where an organization takes 7-day, 24-hour care of people for an extended period of time; where residents are primarily ineligible, unable, or unlikely to care for themselves

- Residents of institutions are not eligible for EAP
- SPs may need to verify the type of services provided and the HHD's living arrangements to determine if an applicant's housing is institutional or non-institutional

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Examples of institutions

- Federal, State or local correctional facilities
- Nursing Facilities/Skilled-Nursing Facilities (aka nursing homes)
- Residential schools for people with disabilities
- Hospitals, psychiatric hospitals, in-patient hospice facilities

77

Not considered institutions by EAP

Examples of what may appear to be institutions but are not considered institutions for EAP:

- Assisted living facilities (e.g. board and lodging with special services, board and care). Assisted living residents may not require 7-day, 24-hour care
- Student housing
- Military quarters
- Transitional housing and shelters
- Group homes
- Residential treatment centers
- Worker's group living quarters (e.g. vocational training facilities, farm/construction-worker camps)

78

Q&A

Ken Benson

79

EAP Income

Doug Burns

Income (Chapter 5)

Topics

Earned income documentation

- Pay period / Pay date
- Year-to-date pay stubs
- No employer income documentation

81

Pay period / Pay date

Consecutively dated pay stubs for 3 months prior to the date the application is signed

- Use the pay dates if they are all provided
- If documentation includes all pay period end dates during the three months, they may be used if the first document by pay date is missing

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Requesting Pay Stubs

If pay stub(s) must be requested because pay period end and pay date are both incomplete, request the missing **pay date** stub(s).

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Pay Period / Pay Date Scenarios

Extra pay stub provided

- App signed in March
- 3-month eligibility period is Dec, Jan, Feb
- All needed pay stubs by pay date are provided (example follows)

85

Using pay date

Bi-weekly payroll	Pay period end	Pay date	What to include/exclude
Check 1	12/01	12/11	Include this check stub
Check 2	12/15	12/24	Include this check stub
Check 3	12/29	1/08	Include this check stub
Check 4	1/12	1/22	Include this check stub
Check 5	1/26	2/05	Include this check stub
Check 6	2/09	2/19	Include this check stub
Check 7	2/23	3/04	Exclude this check stub

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Pay Period / Pay Date Scenarios

Using pay period end date

Counting 6 pay stubs

- App signed in May
- Three-month eligibility period is Feb, March, April
- Use pay period end dates. The first pay stub by pay date is missing

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Using pay period – 6 pay stubs

Bi-weekly payroll	Pay period end	Pay date	What to include/exclude
Check 1 - missing	1/26	2/05	Check stub not provided
Check 2	2/09	2/19	Include this check stub
Check 3	2/23	3/04	Include this check stub
Check 4	3/08	3/18	Include this check stub
Check 5	3/22	4/01	Include this check stub
Check 6	4/05	4/15	Include this check stub
Check 7	4/19	4/29	Include this check stub
Check 8	5/03	5/13	Exclude: not in pay date range

Pay Period / Pay Date Scenarios

Using pay period end date

Counting 7 pay stubs

- Application signed in June
- Three-month eligibility period is March, April, May
- Use pay period end dates. The first pay stub by pay date is missing.

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Using pay period – 7 pay stubs

Bi-weekly payroll	Pay period end	Pay date	What to include/exclude
Check 1 - missing	2/23	3/04	Check stub not provided
Check 2	3/08	3/18	Include this check stub
Check 3	3/22	4/01	Include this check stub
Check 4	4/05	4/15	Include this check stub
Check 5	4/19	4/29	Include this check stub
Check 6	5/03	5/13	Include this check stub
Check 7	5/17	5/27	Include this check stub
Check 8	5/31	6/10	Include this check stub

Year-to-date pay stubs

First and last pay stubs for 3 months

(Pay Period / Pay Date Scenarios may apply.)

- Consecutive pay stubs by pay period may be used when pay date documentation is incomplete

91

No employer income documentation

An employer might not provide a signed and dated letter on letterhead stating a household member's gross income

- Obtain a signed statement from the household member when other income documentation is not obtainable. Explain in eHEAT

92

Q&A

Ken Benson

93

Primary Heat

Sandra Seemann

94

Primary Heat

Topics

- Changes to Ch. 6 – Primary Heat
- Policies/procedures clarification or reminders

95

Primary Heat

Changes to Ch. 6 – Primary Heat

- In-floor secondary heat
- Direct pay when usable biofuel is unavailable

96

In-floor Secondary Heat

Ch. 6 – Primary Heat, pg. 8

Added to **Electricity as a Secondary Heating Fuel:**

"Include electric costs as heat if the household uses electricity to provide most or all of the heat to one or more eligible rooms. Make the appropriate changes in eHEAT based on the information provided by the household. Enter notes in eHEAT sufficient to describe how the household uses electricity as a heating source. If a household uses in-floor heating powered by electricity, consider this heating source as the primary heating source for the relevant room(s)."

97

Direct Payments

Ch. 10 – Benefit Payments, pg. 4

Addition to **Direct Payments** section:

"Households may receive direct payments under limited circumstances. eHEAT first subtracts from the payment any electric costs. Those payments are distributed to the electric vendor. The remaining amount is then distributed in one direct payment to the household as a check."

98

Lack of Usable Biofuel

Vendors lack usable biofuel, e.g. dry wood

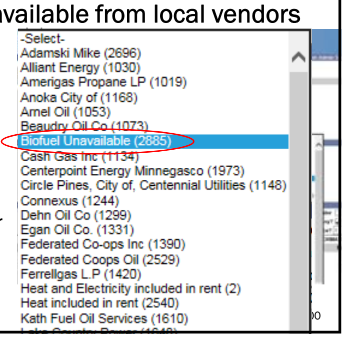
- Possible reasons for wood shortage include:
  - Government regulations, e.g. protected species
  - Loggers focusing on pulp wood over fire wood
- SPs report HHDs can get better quality biofuel (e.g. dry hardwood) on their own from individuals via newspaper or craigslist ads.

99

Lack of Usable Biofuel

In FY17 direct pay to HHDs will be allowed when no usable biofuel is available from local vendors

- In past, could direct pay if biofuel vendors were unavailable.
- Now, can direct pay if usable biofuel is unavailable.
- New choice on vendor drop-down list: *Biofuel unavailable*.



Lack of Usable Biofuel

Ch. 6 – Primary Heat, pg. 10

Added to **Primary Heat Payments for Biofuel:**

SPs can *"…make direct payments for biofuel when no vendor is available or the vendor does not have usable biofuel (e.g. seasoned wood) . The Service Provider must document there is no biofuel vendor or usable biofuel available…"*

When doing direct pay due to no vendor/no usable biofuel, work with the HHD to determine:

- Direct payment to the HHD for biofuel
- Payment to electric vendor, if applicable
- Payment to non-biofuel heating vendor, if applicable

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Lack of Usable Biofuel

Remember, in direct pay situations:

eHEAT first subtracts from the payment any electric costs. Those payments are distributed to the electric vendor.

- So SPs may need to redirect those auto-generated electric payments to the HHD's direct payment, if preferred by the HHD.

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Lack of Usable Biofuel

Ch. 7 - Crisis, pg. 5

Addition to **Distributing Crisis Benefits:**

"Direct payment to the household for self-supplied biofuel can occur only if the Service Provider confirms there is no biofuel vendor or usable biofuel (e.g. seasoned wood) available."

103

Primary Heat

Policies/procedures clarification

- Business use of home
- Primary Heat calculator

104

Business Use of Home

Q: Why does EAP care about business use of home?

- EAP benefits are intended to ensure heat & electricity in homes, not in businesses
- EAP does not want to pay for additional energy used by a home-based business

105

Business Use of Home

Examples of **businesses that increase HHD energy use:**

- Pottery-making with an in-home kiln
- Crop drying
- Food preparation (e.g. catering)
- In-home daycare
- In-home office where most work is performed at the residence
- Rental of part of the home

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Business Use of Home

Examples of **businesses with little or no impact** on HHD energy use because the self-employed work out of their home but perform little or no work at their residence:

- Sales (e.g. door-to-door sale of cosmetics)
- Trucking
- Drywall installation
- House cleaning

SPs must use prudence to determine these. Use the principle of whether *business use of home materially affects home energy consumption.*

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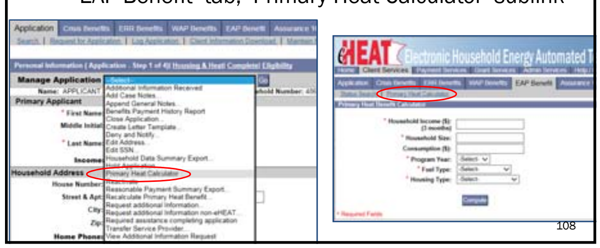
Primary Heat Calculator

- Tool to calculate benefit amount without processing app
- Provides an estimate of the HHD's expected PH benefit
- Found 2 places in eHEAT:
  - 'Manage Application' drop-down list
  - 'EAP Benefit' tab, 'Primary Heat Calculator' sublink



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MINNESOTA DEPARTMENT OF COMMERCE

Primary Heat Calculator

- Required fields are marked with red asterisks
- Enter HHD information
- Click 'Compute' button

Primary Heat Benefit Calculator

* Household Income ($): (3 months)	2000
* Household Size:	4
Consumption ($):	
* Program Year:	2016
* Fuel Type:	Natural Gas
* Housing Type:	House
Calculated Primary Heat Amount ($):	495.00

Compute

* Required Fields

109

Q&A

Ken Benson

110

Crisis

Jon Brown

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Crisis

Topics

- Crisis Staffing and Response
- Crisis Entry Pre-Money
- Pay-As-You-Go or PayGo®

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Crisis

Crisis staffing and response

LIHEAP Act 1981 as amended Section 2604 (C)

- (1) not later than 48 hours after a household applies for energy crisis benefits, provide some form of assistance that will resolve the energy crisis if such household is eligible to receive such benefits;
- (2) not later than 18 hours after a household applies for crisis benefits, provide some form of assistance that will resolve the energy crisis if such household is eligible to receive such benefits and is in a life-threatening situation;

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Crisis

Crisis staffing and response

Policy Change

EAP Policy Manual FFY2017, Chapter 2 **Overview of Service Provider Responsibilities**, Page 5

Staffing

Staffing must be adequate during the heating season to provide the following:

- Program information and application services for heating, emergency and ERR assistance.
- Outreach activities.
- Heating assistance services when funds are available.
- Crisis, including ERR services when funds are available.
- Response to households needing Responsive Energy Self-Sufficiency services.
- ~~Crisis response 24 hours, seven days a week from October 1 through April 15.~~
- Response to emergencies within required Crisis timelines

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Crisis
Crisis & ERR staffing & response

- Not required to have on-call staff during the work week if there is less than 18 hours between office close and open
- Weekends and special occasions still require on-call staffing (e.g. office closed for staff training)
- Staffing Response Examples
  - Call forwarding to on-call staff cell phone
  - Designated staff monitors afterhours voicemail to respond Crisis requests

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Crisis
Crisis entry pre-money

Pre-benefit matrix (cannot determine eligibility)

- Referrals and advocacy if emergency
  - Document activities
  - Must direct HHD to return after 10/1 if emergency remains
  - Option for normal log order or prioritize
- Enter in eHEAT and address when money arrives
  - Complete app and determine eligibility once matrix is in eHEAT

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Crisis
Crisis entry pre-money

- Post-benefit matrix (can determine eligibility)
  - Triage
  - Enter into eHEAT
  - Complete application and determine eligibility
  - Make referrals
- Post-money (Can distribute benefits)
  - Enter apps and process emergencies
  - 18/48 hour rules in effect

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Crisis
Crisis entry pre-money

- Large percentage of Crisis apps are worked pre-money
- Many are still in Crisis when money arrives
- Many are resolved
- Addressing Crisis apps pre-money helps prevent major backlog

Pre-Money	FFY15	FFY16
Total Apps Logged	83,416	82,646
All Crisis	2,564	3,092
Cancelled Crisis	719	925
Resolved Crisis	1,317	1,411
Complete Crisis	520	712

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Crisis
Pay-As-You-Go or PayGo®

- Minnesota Valley Electric Cooperative (MVEC)
  - CAPSH, MVAC, S-C-D CAP and Three Rivers
- Crisis Eligibility
  - PayGo HHDs must meet eligibility requirements
  - $15 or less on account is disconnection notice
  - Eligible if electricity is currently shut off
- Crisis Benefit Amount
  - HHD's annual consumption cost divided by 6 (rounded up) and any additional fees
  - $250 if consumption cost not available

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Q&A
Ken Benson

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MINNESOTA DEPARTMENT OF COMMERCE

ERR Eligibility

Jon Brown

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ERR Eligibility

Topics

- Home Ownership Affidavit Policy
- ERR for In-Floor Heat
- ERR Under $1000

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ERR Eligibility

Home Ownership

- At least one HHD member must be an owner of the dwelling for the household to be eligible for ERR
- Hold landlords responsible for repairs (Minn. Stat. Ch. 504B)
- A16 can be used to help obtain proof of home ownership but only if it is unusually difficult to obtain

Affidavit Policy

- Added mid-year FFY16
- This form is alternative documentation for households seeking heating system services (ERR) but who cannot provide the required proof of home ownership
- Language added in FFY17 manual

123

ERR Eligibility

Affidavit Policy

- HHD must make all efforts to obtain ownership proof before using affidavit. Must document efforts.
- Can only be used when:
  - County will not record ownership or MN Driver and Vehicle Services will not transfer title; and
  - Ownership documentation does not exist or cannot be obtained; and
  - SP documented attempts to obtain ownership proof

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ERR Eligibility

Affidavit Policy affect by the numbers

2015		
Ownership Verification ID	Count	Percent
None	827	**14.9%**
Property tax statement	2698	48.5%
Mortgage or payments	30	0.5%
Payment coupons	4	0.1%
County recorder/assessor	590	**10.6%**
Mobile home title	203	3.6%
Housing authority home ownership	41	0.7%
Signed declaration	305	5.5%
Other (explain)	870	15.6%
Total	5568	

2016		
Ownership Verification ID	Count	Percent
None	282	**5.9%**
Property tax statement	2268	47.5%
Mortgage or payments	17	0.4%
Payment coupons	3	0.1%
County recorder/assessor	1002	**21.0%**
Mobile home title	162	3.4%
Housing authority home ownership	37	0.8%
Signed declaration	263	5.5%
Other (explain)	740	15.5%
Total	4774	

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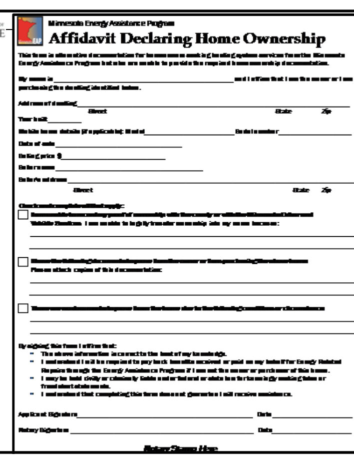
Minnesota Energy Assistance Program
Affidavit Declaring Home Ownership

126

ERR Eligibility

ERR for In-Floor Heat

- Policy Clarification

EAP Policy Manual FFY2017 Chapter 8 Energy Related Repair, Page 3

- Non-traditional furnace may not be replaced with ERR funds if it is redundant or a less expensive traditional furnace or system is possible

127

ERR Eligibility

ERR for In-Floor Heat

- Is eligible for ERR if part of primary heating system
- If repair is part of the primary heating system but heat can be restored at a lesser expense - the alternative repair is suggested
- Example: In-floor heat buried in concrete goes out. Restore heat by adding electric baseboard heaters instead of fixing the in-floor system
- Unsure? Contact PPA and copy eap.mail@state.mn.us

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ERR Eligibility

ERR under $1,000

- At least one HHD member must be an owner of the dwelling for HHD to be eligible for ERR
- Proof of ownership is not required for events under $1,000
- Example: Applicant indicates they are a renter on application but asks for ERR. Request would be denied unless they could provide proof of home ownership

129

Q&A

Ken Benson

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ERR Benefit

Doug Burns

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Energy Related Repair (Chapter 8)

Topics

- Work standards
- ERR efficiency requirements
- Uniform pre-set price list versus itemized bid/invoice

132

ERR – Work Standards

Mechanical work must:

- Be done in accordance with applicable state building codes
- Meet manufacturer's specification
- Be completed in a professional manner

Contact Commerce EAP if there are questions regarding allowable ERR measures/expenditures

133

ERR – efficiency requirements

When replacing a motor, install an electronically commutated (EC) motor, if possible

134

ERR – efficiency requirements

Replacements

The replacement furnace must meet or exceed the following criteria:

- Annual Fuel Utilization Efficiency (AFUE) of at least 93%
- For fuel oil units the AFUE must be at least 80%
- Sealed combustion two-pipe system except when prevented by a dwelling's physical conditions. Conditions preventing a two-pipe system must be clearly documented in the household file
- Burner with a minimum of two (2) stages
- Electronically commutated (EC) motor

135

ERR – efficiency requirements

Replacements (continued)

- Exceptions to installing a high efficiency furnace include situations where physical conditions exist that prevent installation
- Boilers and wood burning furnaces are exempt from the 93% AFUE minimum
- Exceptions must be documented in HHD's file

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ERR – Uniform pre-set price list in relation to Itemized bid/invoice

- Itemized bids or invoices must include details of costs for labor, parts & new equipment installed
- When a contractor has agreed, in advance, to perform specific tasks at a pre-set price for materials and labor, an itemized invoice is not practical
- To receive payment, contractor must submit invoice that corresponds to pre-set price for authorized work completed
- Additional approved work that does not have a pre-set price must follow existing policy re: itemized invoices

137

Q&A

Ken Benson

138

ERR Procurement

Michael Schmitz

139

ERR Procurement

Topics

- Background
- FFY17 Approach
- Preview of Future Guidance

140

ERR Procurement

Background

In FFY2016:

- ERR procurement guidance was revised
- Commerce reviewed Service Provider ERR Procurement policies in conjunction with Local Plan
- Issues were identified by Commerce and Service Provider staff

141

ERR Procurement

Background

- ERR procurement is one of the more challenging areas of policy development
  - SPs have very different needs and capacities in this area
  - Ensuring contractor timeliness and quality of work are challenging
- ERR procurement changes would be very challenging to implement during the summer – and must coordinated with WAP by 7/1
- Better to provide SPs more time

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ERR Procurement

For FFY2017

- EAP ERR Procurement policy will remain generally unchanged
- If an SP's procurement policies changed from FFY2016, must submit with Local Plan
- Commerce is developing general guidance for Service Providers to be released in late winter/early spring
- This will enable SPs to develop and implement changes for FFY18 in coordination with WAP

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ERR Procurement

Preview of Future Guidance

- Current Policy
- General Procurement Methods
- Discussion of Different Methods
- Concerns
- Emergencies

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ERR Procurement

Current Policy

- Procurement transactions must be conducted to provide full and open competition
- SPs must have documented policies and procedures, consistent with any applicable state or federal laws

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ERR Procurement

Current Policy

- Price or rate quotes must be obtained from an adequate number of qualified sources
  - "Adequate number" may be different in different scenarios
  - <$1,000, no competitive quotes required
  - Emergency situations may necessitate noncompetitive procurement
- Procurement steps must be documented

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ERR Procurement

Moving Forward

- Some SPs are already employing strong procurement policies and procedures
- During FFY17, consider changes that may occur
- Commerce will work with SPs to develop shared understanding and shared terminology
- And now…a preview of how Commerce views procurement.

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ERR Procurement

General Methods of Competitive Procurement

1. Obtain bids for each job
2. Regular periodic bidding process (e.g., annual)

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ERR Procurement

General Methods of Competitive Procurement

- Obtain bids for each job:
  1. Open bidding
  2. Limited Master list

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ERR Procurement

Obtain bids for each job

- Open bidding
  - Open to any interested and qualified bidder
  - Send out requests for bid to all and/or post publicly

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ERR Procurement

Limited Master List

- Bids limited to select bidders based on pre-determined criteria
- Criteria could include price, availability, quality, etc.

151

ERR Procurement

Regular Periodic Bidding or Price Lists

- Many SPs use a "price list" method of procurement.
- This can be done a number of ways

152

ERR Procurement

Price Lists

1. Uniform Price List
2. Contractor-Specific Price List

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ERR Procurement

Uniform Price List

- Regular process to solicit bids from any interested and qualified bidders
- Pre-determined process to set prices that all contractors would be held to
- Once on the list, contractors selected based on additional pre-determined criteria
  - Geographic availability
  - Rotation

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ERR Procurement

Contractor-Specific Price List

- Regular process to solicit bids from any interested and qualified bidders
- Prices are specific to each bidder
- Once on the list, contractors selected based on additional pre-determined criteria
  - Price (must be a consideration)
  - Geographic availability
  - Quality

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ERR Procurement

Concerns

Uniform Price Lists may not adequately take price into consideration

- For example:
  - Determine uniform prices based on the average of all bids submitted
  - Any interested and qualified bidder may agree to the average price
  - In this scenario, there is an incentive for every bidder to increase their price and, consequently, increase the average

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ERR Procurement
Concerns
In this example:
- There is no penalty for providing a high bid
- WAP has shown evidence of increasing costs using this method

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ERR Procurement
Concerns
- Household choice?
  - Understand this has been a practice with some SPs
  - Understand households may prefer to use a contractor who has already worked on their heating system (or will work on it in the future)
  - Serious risks related to conflicts of interest, program integrity, and ensuring competition
- WAP coordination:
  - Understand it is easier for SPs to have one policy for both EAP and WAP
  - Will attempt to coordinate, where possible, but there will likely be some differences

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ERR Procurement
Procurement Typology (Draft)

Bid per Job		Annual bidding process	
A	B	C	D
Open Bidding	Limited Master list	Uniform Price List	Contractor specific Price List
Open fully to any interested bidder	Open to select bidders based on pre-determined criteria (e.g., price, availability, quality, etc.)	• Open to qualified bidders • Use pre-determined method to set prices • All contractors held to same prices	• Open to qualified bidders • All contractors held to their own pre-set prices • Contractors selected for specific jobs based on pre-determined criteria (e.g., price, availability, quality, etc.)

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ERR Procurement
Bidding in emergency situations
- EAP's current guidance: "Noncompetitive procurement" is allowed when…

  "The emergency does not allow for any delay that could result from competitive proposals. If temporary heat can be provided or conditions allow for the Service Provider's normal procurement method, Service Providers may not deviate from their normal procurement method."
- EAP understands some SPs currently consider all ERR jobs emergencies
- Guidance may currently be unclear, but moving forward it will be clarified
  - Some scenarios are emergencies
  - Some are not

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Q&A
Ken Benson

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Assurance 16
Michael Schmitz

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Assurance 16
Topics
- FFY16 Recap
  - A16 Utilization
  - Proactive ESS
  - Results
  - Common Issues
- Ideas for Coordination/Collaboration
- Reports

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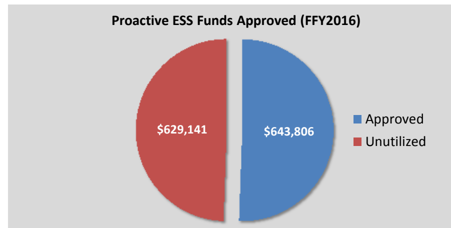
Assurance 16: FFY16 Recap
A16 Utilization
- FFY14 Plans Submitted: 4
- FFY15 Plans Submitted: 27 from 17 SPs
- FFY16 Plans Submitted: 30 from 20 SPs



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Assurance 16: FFY16 Recap
Proactive Energy Self-Sufficiency
- Case Management
- Classes/Seminars
  - Energy conservation
  - Financial literacy
  - Available resources
  - Combinations
- In-home energy conservation education
- Phone/web-based energy conservation education & follow up
- WAP/CIP Coordination

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Assurance 16: FFY16 Recap
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  - Financial literacy
  - Available resources
  - Combinations
- In-home energy conservation education
- Phone/web-based energy conservation education & follow up
- WAP/CIP Coordination

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Assurance 16: FFY16 Recap
Proactive Energy Self-Sufficiency
If you would like to see examples of approved plans:
1. Go to the clearinghouse site: https://sites.google.com/site/a16workgroup/
2. Sign in with existing google account, or
3. Create a new google account
   a. You can do this with your existing work email account (e.g., michael.schmitz@state.mn.us)
   or
   a. Create a google-specific account (e.g., michael.schmitz@gmail.com – I wish this was my real personal address, but its not…)
4. Send me a request for access

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Assurance 16: FFY16 Recap
Results
- 10 programs utilized Energy Kits or similar energy conservation materials
- 6 programs included participation incentives
  - Participation prizes (donated)
  - Food
- 13 programs did something to reduce participation barriers
  - Childcare
  - Transportation
  - In-home activities

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Assurance 16: FFY16 Recap

Issues

- Timing of funding availability
  - Apply early (pre-October 1, if possible)
- ED does not need to sign until final approval
  - Many SPs submitted initial plans with ED signature
  - After revisions, need new signature
- Classes: attendance is challenging
  - Consider incentives, barrier reduction
  - Consider one-on-one

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Assurance 16

Ideas for WX Collaboration/Coordination

Integrate referrals

- Target households who already received WX
- Refer households to WX
- Use in-home visits with WX personnel to identify potential clients (both WX and CIP)

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Assurance 16

Ideas for WX Collaboration/Coordination

Energy Conservation Education

- After WX, can use A16 to more intensively educate household on:
  - Maintaining WX investment
  - How actions affect energy use
- Have WX staff help with:
  - In-home education (can pay them with A16 funds if doing A16 work)
  - Classes

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Assurance 16

Ideas for WX Collaboration/Coordination

Conservation Improvement Program (CIP)

- Use in-home visits to identify CIP recipients
- Referrals to CIP

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Assurance 16: Reporting

Responsive ESS Reporting Requirements

- Due by October 14, 2016
- Reduced significantly from FFY14 to FFY15
- Includes:
  - Preparation activities (e.g., building network of local resources)
  - Providing specific referrals (this includes some activities that previously were considered advocacy)
  - Providing referral lists
  - Assisting to build self-sufficiency (e.g., energy conservation or financial literacy info materials)
  - Informational Outreach
- Contact me (Michael Schmitz) with questions

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Assurance 16: Reporting

Assurance 16 Coordinator: Michael Schmitz

Email: michael.schmitz@state.mn.us

Phone: 651-539-1812

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Q&A

Ken Benson

175

FFY17 Application

Aman Asghedom

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The FFY17 EAP Application

Training Topics

1. Changes & Improvements
   - Why changes and Improvements?
   - Areas of changes/improvements
     - Application, Recertification & Instructions
2. Application mailing timeline
3. Access to EAP Application

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App changes/improvements

Why?

- To provide applicants with clear information and Instructions
- To gather EAP relevant HHD data by:
  - Asking the right & appropriate questions
  - Collecting essential documents
- To improve application processing by:
  - Reducing processing time
  - Increasing accuracy

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App changes/improvements

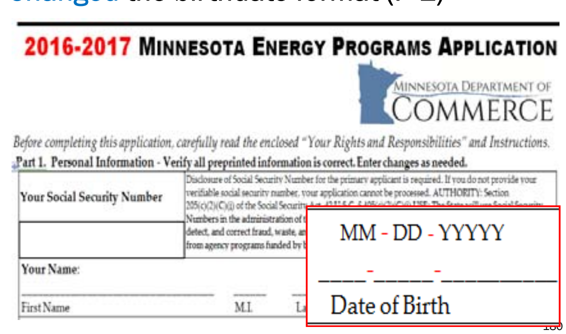
Areas of changes/improvements

- Changed the **birthdate** format (pages 1 &2)
- Clarified **"Authorized Representative"** (page 1)
- Rephrased the **health insurance** question (page 2)
- Sorted **Tribal income** into two categories (page 2)
- Introduced SP specific **generic phone #** for "No Income" HHs and ERR related question (page 2)
- Updated **Income guidelines** (page 2)
- Rephrased the ERR question for Homeowners (page 3)
- Updated EAP instruction with the need for **Power of Attorney (POA)** to act on behalf of the EAP household

179

App changes/improvements

Changed the birthdate format (P-1)



180

App changes/improvements

Changed the birthdate format (P-2)

Part 2. Household Information

LIST ALL HOUSEHOLD MEMBERS, STARTING

First Name, M.I. & Last Name	Social Security Number	Date of Birth MM-DD-YYYY	His-panic Y/N	Sex M/F	Dis-ability Y/N	Years Of School	Veteran Y/N	Have Income Y/N
1. (self)	(required)	- -						
2.		- -						
3.		- -						
4.		- -						
5.		- -						
6.		- -						
7.		- -						
8.		- -						

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App changes/improvements

Rephrased health insurance question (P-2)

LIST ALL HOUSEHOLD MEMBERS, STARTING WITH YOU:

First Name, M.I. & Last Name	Social Security Number	Date of Birth MM-DD-YYYY	Race	His-panic Y/N	Sex M/F	Dis-ability Y/N	Years Of School	Veteran Y/N	Have Income Y/N
1. (self)	(required)	- -							
2.		- -							
3.		- -							

Attach a separate sheet if necessary for any additional household members.

Race: A = Asian B = Black or African American I = American Indian or Alaska Native P = Native Hawaiian or Other Pacific Islander W = White M = Multi Race O = Other

Is anyone in your household currently an employee or board member of this energy assistance agency? ☐Yes ☐No

How many people in your household had income in the past 3 months? ____

How many members of your household do NOT have health insurance? ____

182

App changes/improvements

Clarified "Authorized Representative" (P-1)

WAS

Authorized Representative: If you complete this section, you give the "Authorized Representative" permission to act for you. If you include his/her address below, this person will receive all your mail for this program instead of you.

First Name ____________ Last Name ______________ Phone (___) ________

________________ ___ ________ MN ______-____

Street or PO Box Apt. # City State Zip Code

NOW

Authorized Representative: If you complete this section, you give the "Authorized Representative" permission to act for you. First Name________________Last Name________________Phone (___)____________

If you would like the Authorized Representative to get the mail on behalf of you, please fill in the address below:

________________ ____ ____________ MN ________-______

Street or POBox Apt # City State Zip Code

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App changes/improvements

- Added "Benefits" to Household Income Information (P-2)
- Sorted Tribal income into two categories
- Added space for "Other Income not listed"
- For "No Income" HHs SP specific generic phone # will be printed

INCOME BENEFITS OTHER ASSISTANCE (Check all that apply for your household

☐ Wages	☐ Supplemental Security Income (SSI)	☐ Other income not listed:
☐ Self-Employment/Farm Income*	☐ Retirement Survivors Disability Insurance (RSDI)	________________
Date Business started: _____ _____	☐ Retirement Income	________________
☐ Rental Income	☐ Tribal Per Capita Payments	
☐ Unemployment Compensation		following sources:
☐ Workers' Compensation	☐ Tribal Judgments or Tribal Bonus	☐ Child Support
☐ Interest or Dividend Income	☐ Diversionary Work (DWP)	Monthly amount $________
☐ Contract for Deed Interest	☐ Long/Short-term Disability	☐ Food Support
☐ Veterans' Benefits	☐ Minnesota Family Investment Program (MFIP)	☐ No Income (Please call us at <<SP PHONE>>)
☐ Social Security Retirement Benefits	☐ General Assistance (GA)	
☐ Soc. Security Disability Income (SSDI)	☐ Alimony or Spousal Support	

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App changes/improvements

Income guidelines updated for FFY16/17(P-2)

Send proof of all gross income received by all people in your household in the last 3 full calendar months. Send copies, originals will not be returned. Wages for children in grades K-12 are not counted.

*If self-employed, send first 2 pages of your most recent IRS-1040 tax return. Contact your local EAP Service Provider if your business was started less than two years ago.

Your application will be delayed if you do not include proof of income.

You must sign and date the last page of the application. It must be postmarked or received on or before:

May 31, 2017

HH Size	Three Months Income FFY16	FFY17	Diff
1	$ 5,987	$ 6,135	$148
2	$ 7,829	$ 8,023	$194
3	$ 9,671	$ 9,910	$239
4	$11,514	$11,798	$284
5	$13,356	$13,686	$330
6	$15,198	$15,574	$376
7	$15,543	$15,928	$385
8	$15,889	$16,282	$393
9	$16,234	$16,636	$402

App changes/improvements

- ERR question rephrased? [P-3]
  - SP specific generic phone # available to HHDs

Part 3. Housing Information

Type of Housing:
☐ House
☐ Apartment/Condo
☐ Townhouse
☐ Mobile Home
☐ Duplex
☐ Triplex
☐ Fourplex
☐ Other

Do you pay for rent or mortgage? ☐Yes ☐No If yes, amount ($):________(required)

Renters: Do you get a rent subsidy or do you live in subsidized housing? ☐Yes ☐No

Is heat included in your rent? ☐Yes ☐No Is electricity included in your rent? ☐Yes ☐No

Landlord's Name:____________________________Phone:(___)__________

Address:______________________________

Homeowners: Do you own or are you buying your home? ☐Yes ☐No

Homeowners: Do you own or are you buying your home? ☐Yes ☐No

If your furnace/heating system is currently NOT working, check this box: ☐

Call us immediately at <<SP PHONE>> if your furnace/heating system is not working

_____Years _____Months

Do you rent out part of your home to anyone? ☐Yes ☐No

FFY2017 Mailing Schedule (Plan)

- **Monday, August 22** - first Recert applications will be mailed
- **August 26 – Sept 9** Regular applications will follow (immediately after Recerts finish)
- **After September 9** - Queued Blank Apps (Blapps) will be mailed

Mailing numbers last 3 FFYs

	FFY15	FFY16	FFY17
Pre-applications	139,851	124,552	117,700
Recertifications	15,543	16,186	15,300
Total	155,394	140,738	133,000

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Availability of FFY17 App materials

- **SP version Apps** for printing to be sent after training
  - **Caution:** Do not alter content, including local questions
- **Required App Info'** tool will be on the web
- Other App versions including **Spanish, large print, fillable versions** will be on the web soon (Sept)
- Have apps available on **SP website**
- Apps must be **accessible** to persons with disabilities
- Ensure apps are available throughout service areas

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Q & A

Ken Benson

Thank you all!

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eHEAT Letters

Sandra Seemann

190

eHEAT Letters

Topics

- Types of eHEAT letters
- FFY17 eHEAT letter enhancements
- Reminders about Request for Info letter

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Types of eHEAT Letters

eHEAT Letters Examples (Appendix 11A)

- Details what is written in eHEAT-generated letters
- On the EAP Toolkit webpage (under **Notification** topic)
- Document link: http://mn.gov/commerce-stat/pdfs/eheat-letters-examples.pdf

eHEAT Letters Examples

This document provides examples of some of the EAP letters generated through e
Following are the examples included in this document:

Request for Information Letter
- Request for Information (with Authorized Representative)

Notification Letters
- Notification Letter - Primary Heat and Crisis with furnace
- Notification Letter – ERR services

Denial Letters
- Over Income
- Already Received Benefits this Program Year
- Incomplete Application
- No Primary Applicant SSN
- Program Out of Funds
- Ineligible Housing Type
- Subsidized Housing with Heat & Electric in Rent
- End of Program Year
- Application Withdrawn by Household

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MINNESOTA DEPARTMENT OF COMMERCE

Types of eHEAT Letters

Request for Information Letter (NEW)
Notification Letters
- Primary Heat, Crisis, ERR services

Denial Letters
- Over Income
- Already Served this Program Year
- Insufficient Information
- Invalid Primary Applicant SSN
- Program Out of Funds
- Ineligible Housing Type
- Subsidized Housing with Heat & Electric in Rent
- End of Program Year
- Withdrawal of Application by Household

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FFY17 Letter Enhancements

Topics
- New *Program Participation Letter*
- New attachments to *Request for Info letter*

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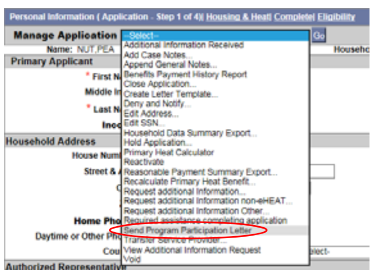
FFY17 Letter Enhancements

New letter: *Program Participation Letter*

- HHDs often need proof of EAP participation
- On 'Manage Application' drop-down list
- Select *Send Program Participation Letter*



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FFY17 Letter Enhancements

New letter: *Program Participation Letter*

Anoka County Community Action Programs
1201 89th Ave. N. E. Suite 345
Blaine,MN 55434
Phone: (763) 783-4747 TTY: (763) 783-4724
FAX: (763) 783-4700

12/08/2015

ACCAP

HH#: 486538

SANDI BEECH
C/O MARGARET THATCHER
224 REINDEER DR
EMBARRASS,MN 55762

To whom it may concern:

SANDI BEECH and the members of the household listed at the address above are eligible for the Minnesota Energy Assistance Program through September 30, 2017. This household's eligibility for the Energy Assistance Program was approved on 01/07/2016 with a benefit of $240.00.

Sincerely,
Energy Assistance Staff

FFY17 Letter Enhancements

Request for Information Letter attachments

- Last year, made it possible to attach VIE form
- New attachments:
  - *Self-Employment Income: Cash Accounting Method*
  - *Application* signature page
- Can add multiple attachments

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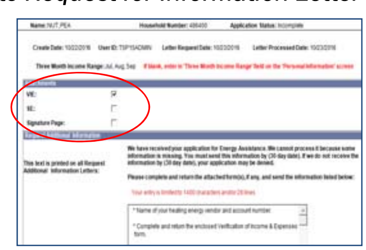
FFY17 Letter Enhancements

New attachments to *Request for Information Letter*

- 3 checkboxes in the Attachments section:
  - VIE (*Verification of Income & Expenses*)
  - SE (*Self-Employment Income: Cash Account Method*)
  - Signature Page



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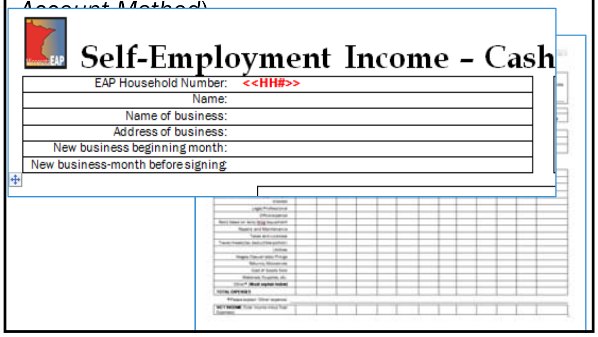
FFY17 Letter Enhancements

SE attachment (*Self-Employment Income: Cash Account Method*)



FFY17 Letter Enhancements

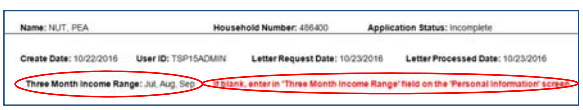
Signature Page attachment

- EAP HHD# and Local questions will be auto-filled

Request Info Letter Reminders

VIE attachment auto-filled info:

- 3 month income range is used from the 'Personal Information' application screen.
- If months are blank on the screen, users need to go to the 'Personal Information' screen and complete the 3 month income field or information will be blank on the VIE form.
- Red text reminds users of this.



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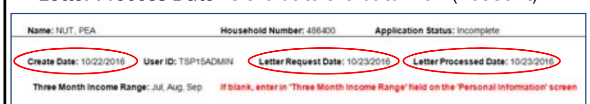
Request Info Letter Reminders

Letter info. in header

- **Create Date:** is the date the user put the note in
- **Letter Request Date:** is date user clicks 'Save & Send' button
- **Letter Process Date:** is the date the batch ran (not sent)



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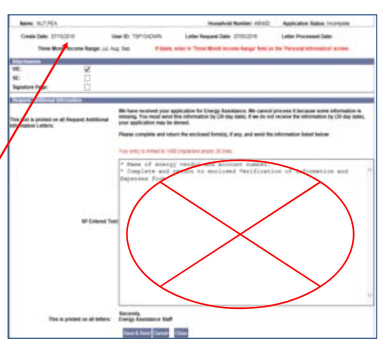
Request Info Letter Reminders

If you do a second letter:

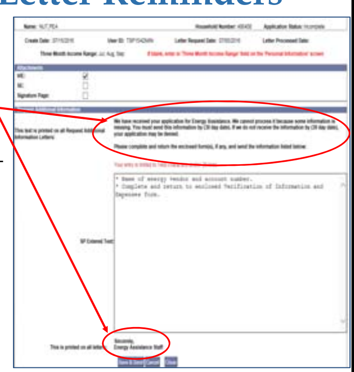
- It over-writes the content of the previous letter
- Dates change to reflect new letter process
- Only latest letter info is saved



Request Info Letter Reminders

Text is pre-printed on the letter:

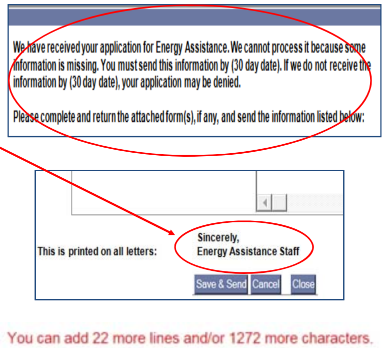
- Letter text is shown in eHEAT to clarify
- Users should keep pre-printed text in mind when composing content
- Otherwise likely to confuse HHD



Request Info Letter Reminders

Space is limited:

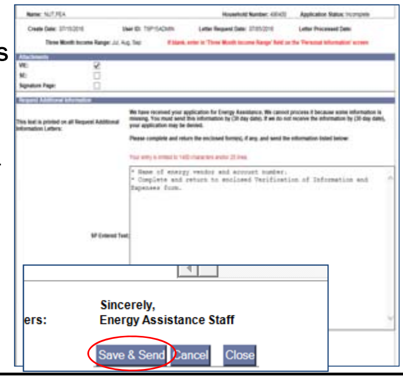
- Don't duplicate the intro or closure
- Use concise wording
- Add only 1 space between paragraphs
- Watch # of characters used (eHEAT shows as you type)



Request Info Letter Reminders

Save and Edit Letter Requests

- 'Save & Send' button
- Can edit OR cancel the letter until eHEAT sends the letter out in the evening's batch (around 8 pm)



Q&A

Ken Benson

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EAP Survival: What I wish I knew

Keith Lusk

208

EAP Survival

Preparing for a Successful EAP Season;

An Open Conversation About What Works and What Doesn't

By: Keith Lusk

Staffing

- Different SP's have different staffing structures.
  - Use what works best for your service area, but don't worry about trying something that may work better.
- Larger SP's can afford to have more staff than smaller SP's.
- Communicate with SP's your size. Share what works for you and entertain different ideas as to help get the most out of limited admin funding.
- Program Workflow dictates that having the proper number of staff willing and able at the beginning of the season sets the tone for the rest of the PY.
- It costs more to train new staff than to keep experienced staff.

Customer Service

- **Show empathy, not sympathy**
  - Show understanding without feeling sorry for them.
- **Communication is key**
  - Listen to what HH has to say before responding.
  - Don't over promise and under deliver.
  - Don't be judgmental.
- **Familiarize yourself with available community resources**
  - Refer HH's to resources that will help build self-sufficiency.
  - **Never** tell a HH that there is nothing that we can do.
- **Know the Energy Assistance Program**
  - Know the program requirements and benefits.
  - Don't guess; if you are unsure about something, ask.
- **Respond to HH requests in a timely manner**
  - Regularly check your voicemail and call HH's back.
  - If you don't know the answer to a HH's question, bring it to your Supervisor.

Customer Service, cont.

- **Work as a team**
  - Do not deflect blame to others.
  - If HH starts complaining about a co-worker, let them finish and then focus on a solution.
    - Bring complaint to your Supervisor if it warrants attention.
  - Help each other be right, not wrong.
- **Do not use the following terms:**
  - The "State" makes us…
  - The "Department of Commerce" requires…
    - Instead, use terms like:
      - "We" require…
      - "Program Guidelines" require…
      - "EAP Guidelines" make us…
- **Stay positive**
  - Often times, your attitude is a mirror
    - A positive attitude will get a positive response.
    - A negative attitude will get a negative response.
  - Don't let one negative HH affect every HH that you communicate with.

Vendor Relations

- Build collaborative relationships with local vendors.
- Handling Uncooperative Vendors
  - Impress upon uncooperative vendors that the Energy Assistance Program is helping them to collect on accounts that they may not otherwise be able to.
  - Share the amount of money that the vendor has recently received through EAP
  - Remind Vendor that our target demographics are seniors, disabled , and families with children under six.
  - If they suspect program abuse, they should report it to the SP for further inquiry.
  - Remind vendor that if they are deemed "Uncooperative", EAP payments will go directly to the HH, and it will be the vendors responsibility to collect money owed.
  - If you are unable to gain cooperation, get Jon Brown involved.
- Vendors are a great Outreach resource when they understand and appreciate the impact that EAP has on their local communities and their bottom line.
- Don't forget to occasionally thank vendor staff for all of their hard work – recognize success.

Local Questions

Vary by SP because of different services. Example:

~Have you switched heating and/or electric companies since you last applied for Energy Assistance? **Y or N**

If yes, please verify that you listed the correct companies and account numbers on the previous page.

~Does anyone in your household receive tribal payments from casinos or payments from agricultural programs? **Y or N**

~Continue to pay on your utility bills. You will receive an award letter or denial letter once your application is processed.

~Call us **only** if you are disconnected or refused a fuel delivery. *Extra calls slow down application processing.*

~If no one in your household has had income for the past 3 months, a Verification of Income and Expenses Worksheet must be filled out. It is available at www.lakesandpines.org, or by calling us at 1-800-832-6082 Option #2.

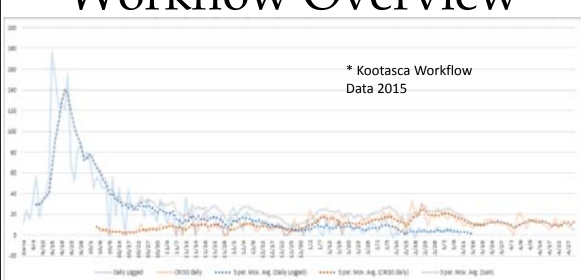
~Is there anyone living in your household that is not included on the application? *(temporarily or long term)* **Y or N**

Do you want Lakes and Pines to contact you about: **(1)** Getting caught up on rent or mortgage? **Yes** **(2)** Creating a budget? **Yes** **(3)** Applying for Social Security? **Yes** **(4)** Applying for MNSure? **Yes** **(5)** Applying for SNAP? **Yes** **(6)** Providing your family a NO COST Early Childhood Program for children ages 0-5? **Yes**

Renters: What is the name of your apartment building/complex? ____

Seniors: The 7-County Senior Federation has a wide variety of resources available. (e.g. Social Security, Medicare). For more information, call them at (320) 679-4700 or visit their website at www.7countyseniors.com

Workflow Overview



50% of application workload is received by October 1st.

- EAP '17 mailing begins August 22nd and should be complete by September 9th.
  - Mailing Order: Re-Certs, Pre-Logged, Queued Requests
- Incoming applications usually level off around the second week in November.

Crisis requests generally double mid-February.

Pre-Money

Applications will start coming in at the beginning of Sept.

- All applications must be logged in the order that they are received, or before September 16th.
- After September 16th, applications **must** be logged on the same day they are received.

Applications with a Utility or Fuel Crisis

- Pre-matrix
  - Contact HH to inform them that we do not have funding at this time, refer them to partner organizations that may be able to help, and instruct the HH to call SP if they are still in an emergency in November.
    - Develop a Referral Sheet for staff to have quick access to referral resources.
    - Note on application that a referral was made so that box can be checked in eHEAT when app is processed.
  - Process applications in the order that they are received.
- Post-matrix
  - Triage the application and process ahead of non-emergency applications.

Applications with a Furnace Emergency

- Triage the application and process ahead of non-emergency applications.
- ERR Funds are typically made available before PH and Crisis funding.

Post-Money

- Process applications in the order that they are received.
- Applications received with a Crisis
  - Contact the HH to verify crisis and request needed documentation.
  - Triage the application.
    - Triage #1 - Shut off or empty tank, life threatening
    - Triage #2 - Shut off or empty tank, not life threatening
    - Triage #3 - Less than 20% bulk fuel or Disconnect Notice with heat or electric company
- Assign an adequate number of staff to process Triaged applications within the required timelines, while other staff process Logged applications.

A16

Outreach

- Informational
  - Includes activities aimed to increase participation of eligible target group households
- Accessibility
  - Includes activities specifically aimed at helping households to apply for EAP benefits, when they would otherwise be unable to successfully do so without such assistance

Energy Self-Sufficiency

- Responsive
  - Reduce household energy need using an approach that is reactive, reflexive, spontaneous, occasional, short-term, and/or not intensive.
- Proactive
  - Reduce household energy need using an approach that is planned, comprehensive, intentional, deliberate, focused, long-term, and/or intensive
- Log A16 activities in eHEAT or on a separate spreadsheet to report when needed.

Effective Outreach

- Hang flyers in the communities that you serve.
- Work with local radio stations to have interviews promoting EAP throughout the PY.
- Collaborate with utility and bulk fuel vendors.
- Collaborate with county resources.
- Attend Operation Community Connect events.
- Reach out to local colleges, senior organizations, and other organizations that work closely with our target demographic.
- Send a letter to all HH's that are still Pre-Logged in January.
- Make applications available to print from your website.
- Make applications requestable from your website.

Effective Energy Self Sufficiency

Responsive

- Use time period between programs to develop or update a referral list
  - Distribute this list to county staff, vendor staff, and EAP staff so that they may easily refer HH's to programs that may be able to help them.
  - Spend time training staff about different referral resources.
- Offer the HH sound advice as to how to cope with immediate situation effectively.

Proactive

- See Michael Schmitz

Tips and Tricks

- It's always a good idea to go to folks with a proposed solution instead of just a problem.
- Contact an experienced EAP Coordinator and ask for advice when unsure.
  - If you are an experienced EAP Coordinator, mentor someone with less experience.
- Contact your DOC PPA for guidance.
  - Eap.mail@state.mn.us
- Keep a "Do Better" list that you can add ideas to throughout the program year and address them when time allows.

National Performance Measures

Topics

- Background & Update
- Reviewing the Measures
- New Requirements

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National Performance Measures

- US Department of Health & Human Services (HHS) is implementing mandatory national performance measures starting in ~~FFY15~~ FFY16.
- Required by law (since early '90s) for all federal programs
- Performance Measures Work Group has been developing the measures since mid-2000s

223

National Performance Measures

- Data we report will be made publicly available
- Including to White House and Legislative staff
- Important we report accurately

224

National Performance Measures

Reviewing the Measures

- Energy Burden Targeting
- Prevention & Restoration of Loss of Service

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National Performance Measures

Energy Burden Targeting

Energy Burden = Energy Cost ÷ Income

- Benefit Targeting Index: Do we target higher benefits to higher burden households?
- Burden Reduction Targeting Index: Do we reduce the energy burden of higher burden households more than average?

Prevention & Restoration of Loss of Service

- Crisis
- ERR

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National Performance Measures

Energy Burden Targeting: Your Role

- Ensure Household Income Accuracy
- Energy Cost Data
  - Obtain it
  - Make sure it is accurate

227

National Performance Measures

Prevention & Restoration of Loss of Service: Your Role

- Crisis
  - Accurate Crisis Reason
  - Accurate "% of fuel in tank prior to delivery"
  - Accurate Fuel Type
- ERR
  - Accurate Fuel Type

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Debrief

Jeff Mitchell

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Close & Adjourn

John Harvanko

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Energy Assistance Program

FFY2017 EAP Annual Training
DAY 2

Welcome Back

John Harvanko

Agenda Day One

1. ~~Welcome & Intro~~
2. ~~FFY16 Review~~
3. ~~Asst. Commissioner Curtis Zaun~~
4. ~~FFY17 Approach~~
5. ~~Application Processing~~
6. ~~Eligibility~~
7. ~~Income~~
8. ~~Primary Heat~~
9. ~~Crisis~~
10. ~~ERR Eligibility~~
11. ~~ERR Benefit~~
12. ~~ERR Procurement~~
13. ~~A16~~
14. ~~Application & Mailing~~
15. ~~Notifications~~
16. ~~Perform. Measures~~
17. ~~EAP Survival~~
18. ~~Debrief~~

Agenda Day Two

1. Welcome Back (8AM)
2. Executive Director
3. Diversity Training
4. Vendor Management
5. PUC
6. Vendor Monitoring
7. eHEAT Enhancements
8. Long break (45m)
9. Local Plan & ICD
10. Contracting
11. Oversight
12. Program Auditing
13. Fiscal Management
14. Environment. Initiative
15. WAP
16. ~~HeatShare~~
17. eHEAT Next Generation
18. Debrief
19. Adjourn

Performance Measures

Michael Schmitz

Welcome

Lori Schultz

Executive Director

Tri-County Action Program

EACA

Rachel Bagley
EACA Chair

7

Q&A

Ken Benson

8

Diversity Training

Andre Koen

9

Q&A

Andre Koen

10

Vendor Management

Jon Brown

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Vendor Management

Topics

- Chapter & Agreement Updates
- What Vendor Topics PPAs Look for in iPAV
- Vendor Management Timeline
- Vendor Monitoring

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Chapter & Agreement Updates

Vendor Agreement Context

- Agreement is essential to set roles and responsibilities - particularly when there are misunderstandings or disputes
- SP must get signed agreements for all energy vendors they make payments to
- Energy vendors must sign an agreement with each SP
- Federal requirement – Assurance 7 (D)

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Chapter & Agreement Updates

- Chapter
  - No major changes to the chapter
  - Program dates and contact information for Commerce fiscal department have been updated
- Agreement
  - A place to record eHEAT Vendor ID#s has been added to the top of both pages

Chapter & Agreement Updates

- Text in Section I. 5. was removed and similar language was added to the end of 3
  - ~~5. Share information with each other as needed to perform the duties under this agreement.~~
  - 3. …By signing the application, applicants consent to the use of their private information for purposes of this agreement
- "Vendor Monitoring Report" added to the language in Section III. 22
  - ~~22. Complete and submit the EAP Leveraging Report to the State, when requested.~~
  - 22. Complete and return the Vendor Monitoring Report and the EAP Leveraging Report, when requested

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Vendor Management

What Vendor topics do PPAs Look for in iPAV

- PPA works with Vendor Manager on issues in the SP's area
- Ensure SP has signed Agreements for all active vendors
- Reviews last year's vendor monitoring – is it documented, is 5% done, have a variety of fuel types been selected
- Discuss issues SP is having with Vendors

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Vendor Management Timeline

Before Program Year

- Early and Annual Consumption
- Chapter & Agreement
- Energy Vendor Price Lists
- Update Contact & Address
- Request Inactive Vendors be Disabled

During Program Year

- New Consumption Requests
- New Vendor Registration
- Sales/Mergers/Closing
- Refunds
- Vendor Updates
- Monitoring

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Before Program Year

Consumption

- Used to determine average PH benefit
- Set up Back up and Cost matrices
- Early consumption
  - Allows vendors to prepare consumption off-line
  - Typically sent out in June
  - Best for vendors 20-500 HHDs
- Annual Consumption
  - Vendors upload data in eHEAT after August 1st
  - Important to get small vendors/delivered fuels

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Before Program Year

Chapter and Agreement

- Updated by EAP staff – usually available in June
- SPs often provide chapter when vendor agreements are collected
- New signed vendor agreements are needed for each program year
- Vendors added during the year need a vendor agreement before they can be added in eHEAT

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Before Program Year

Other Tasks

- Obtain Energy Vendor Price Lists
  - Price list for normal and customary services for home energy costs
  - Form available online Toolkit
- Update Contact & Address
- Request Inactive Vendors be Disabled
  - Send information and requests to eheat.doc@state.mn.us

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During Program Year

New Consumption Requests

- Consumption is requested for new households that apply
- Consumption costs used to help determine benefit amounts
- Consumption in the Vendor Agreement
  - Section III 6. Provide dwelling consumption data within 5 business days of the request in eHEAT
  - Section III 7. Respond promptly to consumption requests for crisis situations

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During Program Year

New Vendor Registration

- Vendors must register for both eHEAT and MMB (SWIFT) to receive payments
- eHEAT Vendor Registration form and W9 are required
- Vendors cannot be activated in eHEAT before they are registered to receive payments in SWIFT

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During Program Year

New Vendor Registration

- Submit registration paperwork via fax or by secure email to Commerce via eheat.doc@state.mn.us
- Transmitting a vendor's SSN via unsecured email is a data practices violation
- Registration can take a couple days
- Requests to reactivate a previously used and unchanged vendor does not require registration forms—send request to eheat.doc@state.mn.us

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Vendor Maintenance

Vendor moved and needs payments and/or correspondence sent to a new location

- Send requests to eheat.doc@state.mn.us
- The address needs to be updated in both the eHEAT and SWIFT systems
- If not updated in both locations, payments will continue to go to the outdated accounts or addresses
- Incorrect/incomplete vendor information results in bad payments which stops the entire payment batch

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Vendor Maintenance

Vendor wants to update direct deposit information

- *Bank Change Request* form - online Toolkit
- Handled directly by MMB - finalized form should be submitted by vendor directly to MMB

Vendor wants to update business name in eHEAT

- If new Federal Employer ID Number (FEIN) (i.e., registered as a new LLC, merged with another entity), must be set up as new vendor in SWIFT and eHEAT
- If same FEIN, Commerce fiscal can update the "doing business as" name in SWIFT and eHEAT

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During Program Year

Refunds

- Current year refunds done in eHEAT thru Dec 15
- Previous FFY refunds are then deducted from next payment
- After Dec 15 vendors mail Commerce check for previous year refunds
- The Wall - End of the program year when refunds are larger than pending payments
  - Vendors send check for refund amount to trigger any remaining payments

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Q&A

Ken Benson

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Public Utilities Commission

Tracy Smetana

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Public Utilities Commission

EAP Training
August 2016

Tracy Smetana
PUC Programs Coordinator

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Minnesota Public Utilities Commission

Agenda

- Public Utilities Commission (PUC)
- Cold Weather Rule
- Additional utility customer protections
- Telephone Discounts

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Minnesota Public Utilities Commission

- State Agency
- Regulates
  - Investor-owned electric and natural gas utilities
  - Local and in-state long distance telephone companies
  - Permitting for power plants, pipelines, transmission lines
- 5 Commissioners
  - Appointed by Governor
  - Serve staggered terms
  - FT employment
- 50 staff

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Minnesota Public Utilities Commission

Consumer Affairs Office

- Mediation between utility companies and their customers
- Consumer Education
- Telephone Discount Programs
- Cold Weather Rule
- Utility Resource
- Public Comments

32

Minnesota Public Utilities Commission

Interagency Relationships

- Attorney General
- Department of Commerce
- Federal Communications Commission
- Governor
- Legislators (State and Federal)
- Public Utilities Commissions in other states
- Social Service Organizations

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Minnesota Public Utilities Commission

Cold Weather Rule

- It's winter, they can't shut me off!
  FALSE
- I have children, they can't shut me off!
  FALSE
- I'm a senior citizen, they can't shut me off!
  FALSE
- I'm disabled, they can't shut me off!
  FALSE

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Minnesota Public Utilities Commission

Cold Weather Rule

- Protects customers from having heat shut off in the winter
  - Residential
  - Heat affected
  - Electric and natural gas
- Prevent disconnection OR aid with reconnection
- October 15 through April 15

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Minnesota Public Utilities Commission

Cold Weather Rule

- Keys to protection
  - Contact utility company
  - Payment plan based on household's financial situation
  - Make and keep a payment plan
  - PUC available to answer questions, assist households and utilities

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Minnesota Public Utilities Commission

Residential Customer Protections

- Budget billing plans
- Undercharges
- Military
- Life support households
- Hot Weather Rule

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Minnesota Public Utilities Commission

Life Support Households

- Medically necessary equipment
- Utility shall reconnect or continue service
- Written certification from a medical doctor, physician assistant, advanced practice nurse
- Customer must enter into a payment agreement
- Recertification

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Minnesota Public Utilities Commission

Hot Weather Rule

- Utility may not disconnect residential customers
- When National Weather Service issues excessive heat watch, heat advisory, or excessive heat warning
- Reconnection not required

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Minnesota Public Utilities Commission

Minnesota Statutes

- 216B.091 Monthly Reports
- 216B.096 Cold Weather Rule - *Regulated Utilities*
- 216B.097 Cold Weather Rule – *Coops and Munis*
- 216B.0975 Disconnection during extreme heat
- 216B.098 Residential customer protections
- 325E.028 Military Protections
- www.revisor.mn.gov

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Minnesota Public Utilities Commission

Telephone Discounts

- Available to customers of
  - Traditional landline telephone service
  - Some cellular
- Participate in qualifying program OR household income at or below 135% of federal poverty
- One discount per household
- Annual recertification required

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Minnesota Public Utilities Commission

Telephone Discounts

- Federal Lifeline Credit = $9.25
- State Telephone Assistance Program (TAP) Credit = $3.50
- Wireless discounts vary

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Minnesota Public Utilities Commission

Telephone Discounts

- Qualifying programs *through November 30, 2016*
  - Medicaid
  - Food Support (SNAP)
  - Minnesota Family Investment Plan (MFIP)
  - Supplemental Security Income (SSI)
  - Federal Housing Assistance (Section 8)
  - Low Income Home Energy Assistance (LIHEAP)
  - National School Free Lunch Program
  - If living on Tribal lands
    - Bureau of Indian Affairs General Assistance
    - Tribal Temporary Assistance for Needy Families (Tribal TANF)
    - Head Start (households meeting the income qualifying standard)
    - Food Distribution Program on Indian Reservations

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Minnesota Public Utilities Commission

Telephone Discounts

- Qualifying programs *starting December 1, 2016*
  - Medicaid
  - Food Support (SNAP)
  - Minnesota Family Investment Plan (MFIP)
  - Supplemental Security Income (SSI)
  - Federal Housing Assistance (Section 8)
  - Low Income Home Energy Assistance (LIHEAP)
  - National School Free Lunch Program
  - Veterans Pension Benefit
  - If living on Tribal lands
    - Bureau of Indian Affairs General Assistance
    - Tribal Temporary Assistance for Needy Families (Tribal TANF)
    - Head Start (households meeting the income qualifying standard)
    - Food Distribution Program on Indian Reservations

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Minnesota Public Utilities Commission

Telephone Discounts

Wireless Provider	Customer Service	Website
Access Wireless	1-800-464-6010	www.accesswireless.com
American Assistance	1-866-966-2628	www.americanassistance.com
Assurance Wireless	1-888-321-5880	www.assurancewireless.com/Public/Welcome.aspx
Blue Jay Wireless	1-855-425-8529	bluejaywireless.com
Budget Mobile	1-888-777-4007	www.budgetmobile.com
EnTouch Wireless	1-866-488-8719	www.entouchwireless.com/pages/entouch_lifeline_program?contrller=Pages
Life Wireless	1-888-543-3620	www.lifewireless.com
QLink Wireless	1-855-754-6543	qlinkwireless.com
SafeLink Wireless	1-800-723-3546	www.safelinkwireless.com/Enrollment/Safelink/en/NewPublic/index.html
StandUp Wireless	1-800-544-4441	standupwireless.com/index
T-Mobile Lifeline	1-800-937-8997	www.t-mobile.com - type *Lifeline* in the search box
Tag Mobile	1-866-959-4918	www.tagmobile.com/site/index.aspx
Tempo Telecom	1-877-822-8501	mytempo.com/lifeline-wireless
TerraCom Wireless	1-877-351-4040	www.terracomwireless.com

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Minnesota Public Utilities Commission

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Minnesota Public Utilities Commission
121 Seventh Place East, Suite 350
St Paul MN 55101-2147

651-296-0406, option 1
1-800-657-3782, option 1
Fax 651-297-7073

consumer.puc@state.mn.us
mn.gov/puc

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Q&A

Ken Benson

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Vendor Monitoring

Jon Brown

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Vendor Monitoring

Why do Vendor Monitoring?

- HHD benefits rely on timely and accurate actions by vendors to be effective
- Important Internal Control - EAP paid more than $84 million to energy vendors in FFY16
- With over 400 active vendors, EAP relies on SPs to have capacity to examine this area of business for compliance
- National Program Integrity Work Group identifies vendor monitoring as a best practice

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Vendor Monitoring

What is covered?

- A portion of vendors are monitored annually to assure compliance
  - 5% of SP's vendors - including a variety of fuel types
  - Plan so all vendors are monitored on a regular basis over time
- Compare vendor cost and consumption records provided in eHEAT
- Confirm HHDs credited full amount of EAP payments and payment processing followed EAP policies
- Examine vendor delivery records. Confirm that HHDs received the proper amounts of fuel, materials or services
- Review records to verify funds applied only to heat and electric
- Confirm vendors provided services within the appropriate time
- Goal is to inspect vendor's process – catch and correct systemic issues

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Vendor Monitoring

Follow up

- Assessing results
- Conducting follow up, including:
  - Requiring corrective action if appropriate
  - Evaluating the vendors competency and offer training and technical assistance if needed
  - Escalating issues when needed

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Vendor Monitoring

Assistance

- Contact Jon Brown about monitoring
  - General monitoring questions
  - Forms
  - Issues with vendors
  - Recommendations on how to improve monitoring
- Phone: 651.539.1869
- Email: jonathan.d.brown@state.mn.us

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Q&A

Tracy Smetana

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eHEAT Enhancements

Jeff Mitchell

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eHEAT Enhancements

Topics

- ‘Logged’ & ‘Incomplete’ status changes
- Editing ‘Pre-logged’
- Reviving ‘Voids’
- Search by contractor
- ERR event screen
- Letter improvements
- Match app questions
- Crisis screen additions
- County warning
- De-Obligating future payments
- Consumption notes
- Person age
- Search additions
- eHEAT database change

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Application Status Changes

New Substatus & activities

- SP determined that trigger of apps changing ‘Logged’ status when any info was entered did not represent the flow of work
- To help manage apps, the trigger that move applications from ‘Logged’ to ‘Incomplete’ has changed

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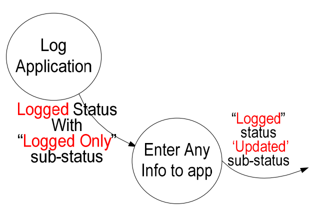
Application Status Changes

New Logged Sub Statuses

- Logged Only
- Updated (If any info has been entered)



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Application Status Changes

Going from ‘Logged’ to ‘Incomplete’ status

Trigger to go from ‘Logged’ to ‘Incomplete’ is when information is requested. There are 3 types of requests:

- Request additional Info . . . (Using eHEAT letter)
- Request additional Information Non-eHEAT (SP does)
- Request additional Information Other (SP from other than HHD, e.g. vendor, employer)

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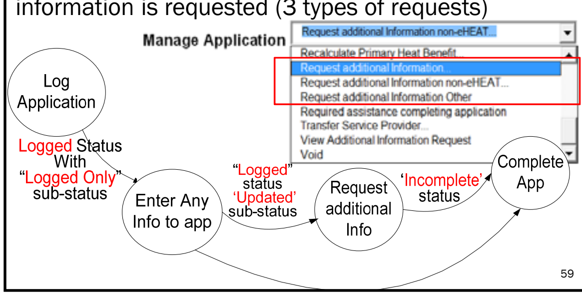
Application Status Changes

Going from ‘Logged’ to ‘Incomplete’ status

Trigger to go from ‘Logged’ to ‘Incomplete’ is when information is requested (3 types of requests)



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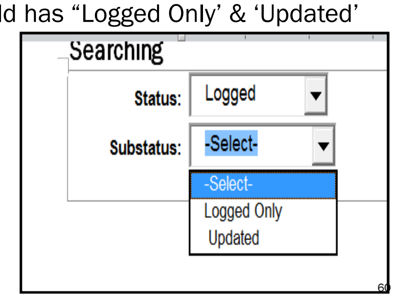
Application Status Changes

Can Search by ‘Substatus’

When user selects ‘Status’ ‘Logged’, the ‘Substatus’ field has “Logged Only” & ‘Updated’ as options



60

Application Status Changes

'Incomplete' activities

This reports has not change, but the new activities now are shown as follows:

- Request Info eHEAT (from HHD)
- Request Info Non-eHEAT (from HHD)
- Request Info Other

Activity is recorded in App History

Service Provider	Activity	Activity Date & Time	User ID	User Name	Status
SP88		9/08/15	TSP15ADMIN	User,Test,	Logged
SP88		9/17/15	TSP15ADMIN	User,Test,	Logged
SP88	Request Info eHEAT	9/23/15	TSP15ADMIN	User,Test,	Incomplete
SP88	Request info Non-eHEAT	9/24/15	TSP15ADMIN	User,Test,	Incomplete
SP88	Request info Other	9/25/15	TSP15ADMIN	User,Test,	Incomplete
SP88	PHB calculated using Cost Based Matrix	10/19/15	TSP15ADMIN	User,Test,	Complete
SP88	Complete Sub-status change to Eligibility Determined	10/19/15	TSP15ADMIN	User,Test,	Complete

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Application Status Changes

So for analyzing production remember:

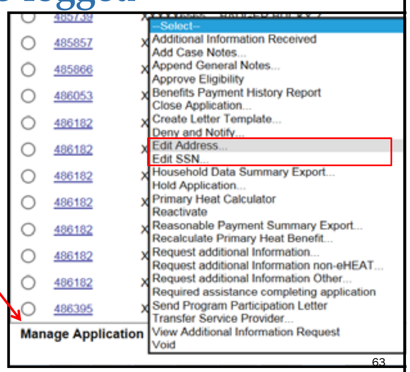
- Apps will likely be in 'Logged' status longer
- 'Incomplete' timespan should be shorter
  - Should help manage denials after 30 days for HHDs who do not respond
  - Some apps will go from 'Logged' to 'Complete' without being in 'Incomplete' status.

62

Editing Pre-logged

User can edit address without changing Pre-Logged status

- In 'Manage Application' pulldown
- Works for apps in all statuses



63

Re-logging a Voided Application

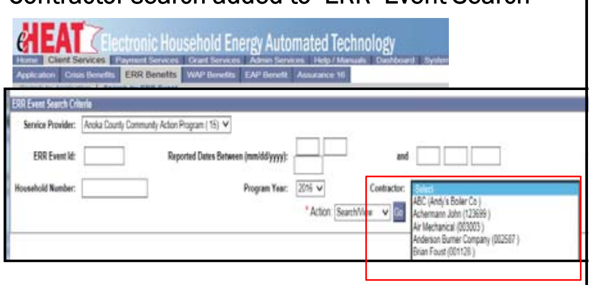
If you mistakenly logged an app then voided:

- App had no data when re-logged
- Now, they will have Pre-Logged data if the App was in past years
- The original voided App remains in eHEAT

64

Search by Contractor

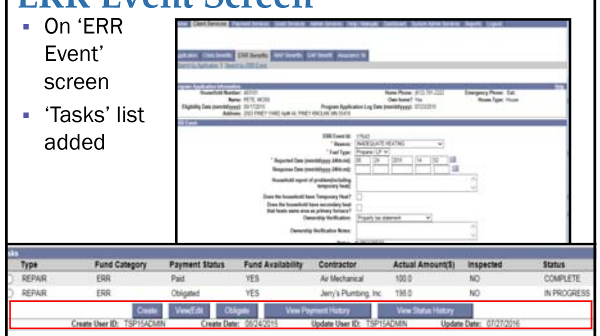
Contractor search added to 'ERR' Event Search



65

ERR Event Screen

- On 'ERR Event' screen
- 'Tasks' list added

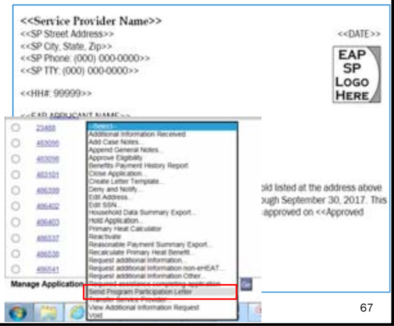


66

FFY17 Letter Enhancements

New letter: *Program Participation Letter*

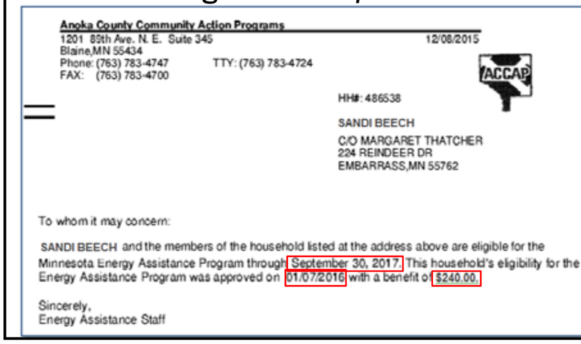
- HHDs often need proof of EAP participation
- On 'Manage Application' drop-down list select *Send Program Participation Letter*



67

FFY17 Letter Enhancements

New letter: *Program Participation Letter*



Anoka County Community Action Programs
1201 89th Ave. N. E. Suite 345
Blaine,MN 55434
Phone: (763) 783-4747 TTY: (763) 783-4724
FAX: (763) 783-4700

12/08/2015

HH#: 486538

SANDI BEECH
C/O MARGARET THATCHER
224 REINDEER DR
EMBARRASS,MN 55762

To whom it may concern:

SANDI BEECH and the members of the household listed at the address above are eligible for the Minnesota Energy Assistance Program through September 30, 2017. This household's eligibility for the Energy Assistance Program was approved on 01/07/2016 with a benefit of $240.00.

Sincerely,
Energy Assistance Staff

FFY17 Letter Enhancements

Request for Information Letter attachments

Last year, made it possible to attach VIE form

- New attachments:
  - *Self-Employment Income: Cash Accounting Method*
  - *Application* signature page
- Can add multiple attachments

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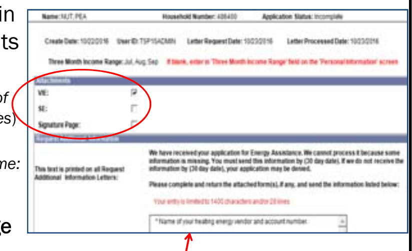
FFY17 Letter Enhancements

New *Request for Information Letter* attachments

- 3 checkboxes in the Attachments section:
  - VIE (*Verification of Income & Expenses*)
  - SE (*Self-Employment Income: Cash Account Method*)
  - Signature Page



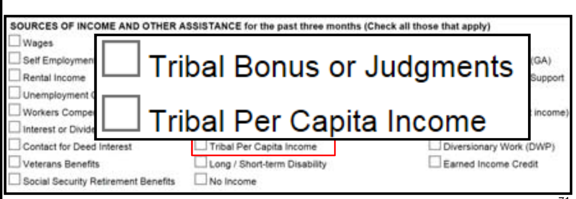
- All 3 can be checked
- Preprinted text not specific – User needs to add text

70

Change to Income Table

To match the change to paper application

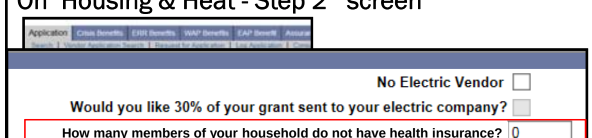
- Because they were together applicants mis-reported here
- Tribal Incomes have been split into to types



71

Health Insurance Question

On 'Housing & Heat - Step 2' screen



Info is added to the Export

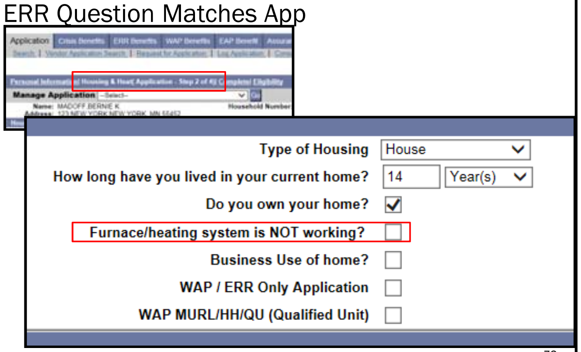
- In the column 'HEALTH_ INS_INDC
- Shows number response

S	T
HEALTH_INS_INDC	VETERAN_
4	0
2	0
0	0

72

ERR Question

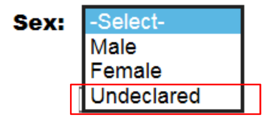
ERR Question Matches App



73

Sex Declaration

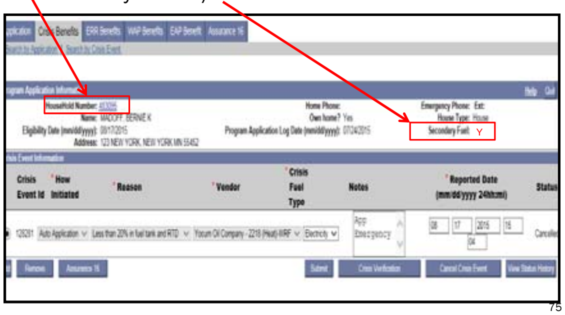
- On App HHD members don't need to designate 'sex'
- In eHEAT the option 'Undeclared" is added



74

Crisis Screen Additions

- Household Number is link to Application Summary
- Secondary Fuel: Y/N – 'Y' will be in red

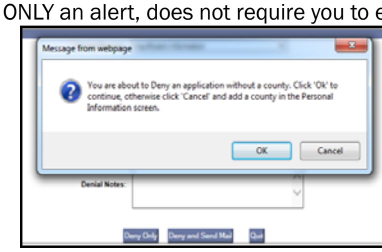


75

No County Alert

When denying an application:

- Some SPs need the county for Visions or CAP60 exports
- An alert will say there is no county entered
- It's ONLY an alert, does not require you to enter it

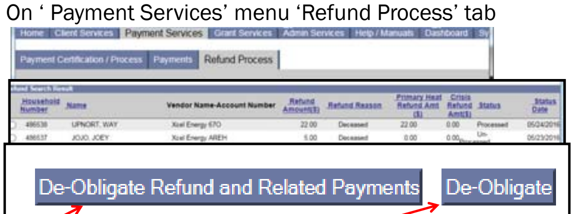


76

De-Obligating Refunds

Added button 'De-Obligate Refund and Related Payments'

On ' Payment Services' menu 'Refund Process' tab



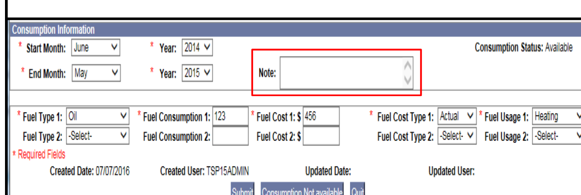
- 'De-Obligates Refund and Related Payments' button de-obligates the refund and any payments related to that vendor
- 'De-Obligate' button only de-obligates selected refund

77

Consumption Notes Field

Notes field added to consumption screen

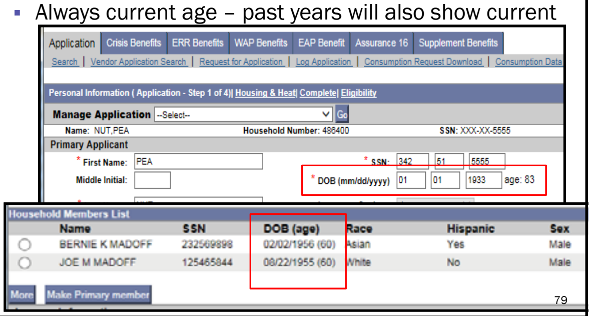
- For communication between Vendor & SP
- Vendor cannot edit after application is 'Determined eligible'
  - Same as it has been in the past for consumption data



78

Person's Age On Screen

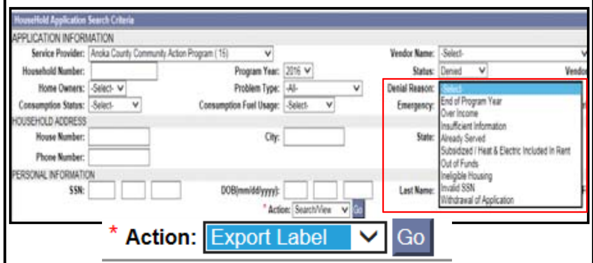
- eHEAT calculates age of HHD members
- Located by DOB
- Always current age – past years will also show current



79

Search for Denial Reason

For outreach



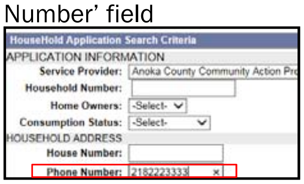
Conduct search and export for labels

80

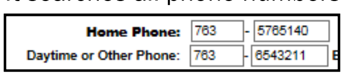
Search by Phone Number

Both 'Basic Search' & 'Advanced Search"

- When phone number is entered in 'Phone Number' field



- It searches all phone numbers entered in App



81

eHEAT Database Change

- eHEAT is moving to new database & server
- Move is scheduled for Aug 12-13
  - eHEAT will shut down **6PM Fri, Aug 12**
  - Scheduled back up **6PM Sat, Aug 13**
- *A Spark* was sent to communicate
- Enhancements also launched at this time

Thank you to the testers

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Q&A

Ken Benson

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Local Plan & ICD

Michael Schmitz

84

FFY2017 Local Plan

Topics

- Background
- Key Enhancements: What?
- Key Enhancements: Why?
- Key Enhancements: Format
- Attachments
- Submitting the Local Plan

85

FFY2017 Local Plan

Intention:

- Assure SPs have the capacity to effectively administer the Minnesota Energy Assistance Program
- Establish expectations between SPs and Commerce
- Document SP work plan for the coming year
- Enable Commerce to assess SP risk

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FFY2017 Local Plan

Overview - Local Plan & ICD show that SPs:

- Organize complex activities
- Communicate shared goals, plans
- Understand their environment, their own capacity, their context, needs, strengths/weaknesses
- Measure their success, impact, progress, outputs/outcomes, efficiency

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FFY2017 Local Plan

Key Enhancements: What?

- Local Plan and Internal Controls Documentation have not changed substantively from FFY2016
- Format is now a fillable form PDF
- Local Plan and ICD were sent to SPs with prior year information already pre-filled
- SPs can certify prior year responses, where applicable

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FFY2017 Local Plan

Key Enhancements: Why?

- Information is valuable
- Some information does not change from year to year
- Reduce unnecessary work for SPs and Commerce
- Format allows Commerce to easily manage SP response data and pre-fill future Local Plans and ICDs

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FFY2017 Local Plan

Key Enhancements: Format


Agency Information
Service Provider Information

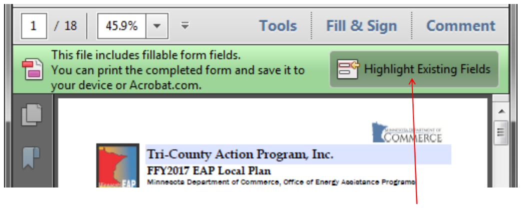
Agency Legal Name:		EAP SP #:	
Agency Address:			
City:		Zip:	
Agency Phone (include area code and extensions):		Toll Free Phone:	
Agency Fax:		Agency Web Site:	
Federal Tax ID:		State Tax ID:	

No Change
Change

Responses are entered in fields, which are highlighted blue.

90

FFY2017 Local Plan
Key Enhancements: Format



If your version of Adobe does not look like the image above, you may need to contact your IT staff to help adjust your preferences to show the fields.

91

FFY2017 Local Plan
Key Enhancements: Format

Much of the information has been pre-filled, using last year's information.

If the pre-filled information is still accurate, SPs may 'certify' that it has not changed.

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FFY2017 Local Plan
Key Enhancements: Format

If the information has not changed, simply click in the box to the left of "No Change"

93

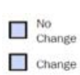
FFY2017 Local Plan
Key Enhancements: Format

If *any* information *has* changed, however, click in the box to the left of "Change"

94

FFY2017 Local Plan
Key Changes: Format

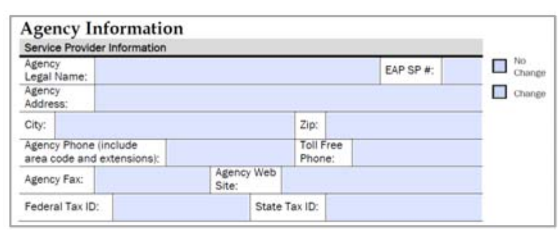
- The re-certification boxes (i.e., No Change, Change) will either be for single responses or for groups of responses



95

FFY2017 Local Plan
Key Changes: Format

- If they are for a group of responses, the group will be enclosed in a box, like this:



96

FFY2017 Local Plan

Key Changes: Format

- If they are for a single response, there will not be a box. It will look like this:

1.2. Service Provider EAP Organizational Competence
Mission: State the Service Provider's mission.

☐ No Change
☐ Change

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FFY2017 Local Plan

Key Changes: Format

Plan for providing clients with specific referrals

Brief description of common resources households are referred to.	Estimated # of referrals for FFY17

Some responses have been left blank, either because Commerce expects information to be updated, or because the prior year information was known to be insufficient.
If there are no check boxes to the right of a response (or set of responses), then the information must be updated.

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FFY2017 Local Plan

Key Changes: Format

1.2. Service Provider EAP Organizational Competence
Mission: State the Service Provider's mission.

☐ No Change
☑ Change

Similarly, if an item with check boxes to the right of a response does not have any pre-filled information (see above), then the information must be updated.

Once the new information is completed, SPs should check the 'Change' box.

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FFY2017 Local Plan

Key Changes: Attachments

- FFY2017 Service Provider EAP Personnel and Hiring Plan worksheet
- Service Provider Risk Assessment

100

FFY2017 Local Plan

FFY2017 Service Provider EAP Personnel and Hiring Plan worksheet

- Generally includes some changes every year
- Difficult to design one form for all SPs
- Must be completed and submitted with your Local Plan/ICD

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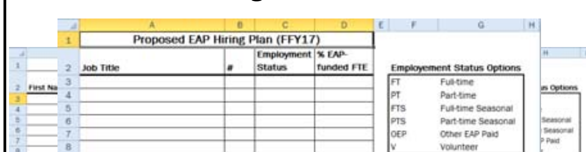
FFY2017 Local Plan

FFY2017 Service Provider EAP Personnel and Hiring Plan worksheet

- Worksheet has two tabs:
  - Current SP EAP Personnel
  - FFY17 EAP Hiring Plan



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FFY2017 Local Plan

Service Provider Risk Assessment

- Difficult to design one form for all SPs, considering wide range of different risks identified
- Format is the same as before, just in an Excel spreadsheet
- SPs may ‘cut and paste’ prior year responses
- Consider improving your responses and/or revising the risks (adding/subtracting)

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FFY2017 Local Plan

Notes on Completing Your LP/ICD

- For Local Plan and ICD, if there are not enough rows in a table for your answers, let us know
- If possible, try to fit your responses in the space provided

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FFY2017 Local Plan

Notes on Completing Your LP/ICD

- Any questions on content, format, etc. should be submitted to eap.mail
- During visits PPAs often review LP/ICD issues
  - Review your notes and make improvements
  - Previously identified areas of improvement may be rejected if not addressed

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FFY2017 Local Plan

Submitting your initial Local Plan, ICD, & attachments

- Local Plan and ICD do not need to be signed prior to initial submittal
- Make sure ED, other stakeholders are aware
- Signatures will only be needed when final copies are submitted with your FFY17 Grant Agreement (contract)
- Consider submitting early!

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FFY2017 Local Plan

Submitting your initial Local Plan, ICD, & attachments

- LP, ICD, and other attachments due Aug. 19
- All forms must be kept in their original format
  - Do not change layout, fonts, etc.
- Do not change file names
- Initial submittals must be electronic copies in their original file format (e.g., PDF, XLSX, etc.)
- Submit to eap.mail; include SP name and “Local Plan” in email subject

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FFY2017 Local Plan

Submitting your final Local Plan, ICD, & attachments

- This will be discussed during next presentation

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Q&A
Michael Schmitz

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Contracting
Shamiere Bridgeford

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Contracting
Topics
- Overview
- Components
- Timelines
- Reminders

111

Contracting
Overview
The grant contracting process includes various standards and requirements including:
- Grant administration
- Fiscal management
- Performance/compliance requirements

112

Contracting
Components
- FFY17 EAP Grant Contract
- FFY17 Local Plan (LP)
- FFY17 Internal Controls Document (ICD)
- Supplements / Attachments

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Contracting
Components
Required Supplements
- eHEAT Admin Security Agreement
- Affirmative Action Certificate
- Certification Regarding Lobbying, Debarment…
- Certificate of Compliance from MN DHS
  - *Exemptions:* County agencies, reservations and SPs with fewer than 40 employees

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Contracting
Timelines

- **July 22:** Service Provider Coordinators received their LP & ICDs
- **July 26:** memo regarding key FFY17 Planning and Startup dates and activities emailed to EDs
  - Informed EDs of time-critical dates to assist with program planning and startup efforts, including:
    - Timelines required for contracting process
    - Staffing and availability (Board Chair & ED)

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Contracting timeline
Timelines

- Aug 19: Proposed LP submissions, ICD and required attachments are due to Commerce
- Aug 19 - Sept 7: Commerce reviews Local Plans
  - Service Providers may be asked for additional information during the review
  - Please ensure your availability to provide responses within 1 day

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Contracting
Timelines

- By Friday, September 9: Contract package (*includes grant contract, final LP, ICD and required supplements*) is mailed to SPs for signature
- By Monday, Sept 19: All Contract Packages (*includes grant contract, final LP, ICD and required supplements*) are signed by necessary signatories and ***received*** by Commerce

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Contracting
Timelines

- By Oct 1: Commerce executes and distributes contract documents with all attachments, including the NFA
  - The NFA grants FFY17 spending authority effective Oct 1 or whenever contract is fully executed -- whichever is later
    - No funds may be spent without an NFA

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Contracting
Reminders – Contract Package Submission
(Received by Commerce by Sept 19)

- Contract must have original signature of Board Chair (equivalent or authorized signatory)
  - If not signed by Board Chair, signature authority granted by Board must accompany the grant contract.
- Certificates for Affirmative Action & Lobbying, Debarment. . . must be signed by the ED or Authorized Representative

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Contracting
Reminders – Contract Package Submission
(Received by Commerce by Sept 19)

- FFY17 ***Approved*** LP signed by ED
- FFY17 ICD signed by ED & Board Chair or equivalent
- Supplements and attachments with required signatures

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Contracting

Reminders – Contract Package Submission

(Received by Commerce by Sept 19)

- EAP Coordinators should review & signoff on the checklist prior to returning contract package

FFY2017 Grant Contract Checklist

1. FFY2017 EAP Grant Contract (2 signed copies)	❑
1.1. Authorized Rep with minutes if signed by other than Board Chair	❑
2. Affirmative Action Certificate (2 signed copies)	❑
3. Certification Regarding Lobbying, Debarment (2 signed copies)	❑
4. FFY2017 EAP Local Plan (2 signed copies)	❑
5. FFY2017 eHEAT Administrator Security Agreement (2 signed copies)	❑
6. FFY2017 Internal Controls Document (2 copies already signed)	❑
7. Current Certificate of Compliance from MN Dep't of Human Rights The Following are exempted from having a Certificate of Compliance • County agencies • Reservations • Service Providers with 40 or less employees	❑

Date ______________ EAP Coordinator Signature ______________

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Contracting

Sent via U.S. Mail/other trackable method & due Sept 19

2017 Grant Contract Components	Who Signs
FFY17 Grant Contract Package (**with board minutes naming Authorized Rep if other than Board Chair)	Board Chair or Authorized Rep**
Affirmative Action Certificate	ED or Authorized Rep
Certification Regarding Lobbying, Debarment	ED or Authorized Rep
FFY17 **Approved** Local Plan	ED

122

Q&A

Ken Benson

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Oversight

John Harvanko

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Oversight

Topics

- Context
- Foundations
- The Framework & Timeline
- Approach
- fPAV & PAR Specifics

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Oversight

Context

- The state must comply with relevant rules and regulations
- Everyone has a role in oversight of the program
- We are all human; cannot implement oversight with perfect consistency or fairness

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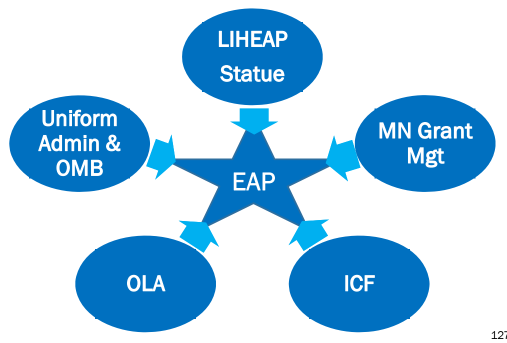
Oversight



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Oversight

LIHEAP Statute

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

128

Oversight

Uniform Administrative Requirements (2 CFR 200)

- **Evaluating risk** of noncompliance with Federal statutes, regulations, and the terms and conditions of the sub-award
- Imposing specific sub-award conditions upon a sub-recipient if appropriate
- **Monitoring activities** as necessary to ensure that the sub-award is used for authorized purposes, in compliance with Federal statutes, regulations, and the terms and conditions of the sub-award; and that sub-award performance goals are achieved.
- Depending on the pass-through entity's assessment of risk posed by the sub-recipient, the following monitoring tools may be useful:
  - Training and technical assistance on program-related matters
  - On-site reviews of program operations

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Oversight

Uniform Administrative Requirements (2 CFR 200)

- **Pass-through entity monitoring of the subrecipient (e.g. SPs) must include:**
  - Reviewing financial and performance reports
  - Following-up and ensuring that the subrecipient takes timely and appropriate action on all deficiencies pertaining to the Federal award provided to the subrecipient from the pass-through entity detected through audits, on-site reviews, and other means
  - Issuing a management decision for audit findings pertaining to the Federal award

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Oversight

State of MN Office Of Grants Management (Policy 08-10)

- State of Minnesota policy to conduct:
  - At least one monitoring visit per grant period on all state grants of over $50,000 and
  - At least annual monitoring visits on grants of over $250,000.
- The purpose of grant monitoring visits is to:
  - Review and ensure progress against the grant's goals
  - To address any problems or issues before the end of the grant period
  - To build rapport between the state agency and the grantee

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Oversight

State of MN Office Of Grants Management (Policy 08-10)

- Applicable monitoring topics include (not limited to):
  - Statutory compliance
  - Challenges faced by the grantee
  - Modifications made to the grant program
  - Program outcomes
  - Grantee policies and procedures
  - Grantee governance
  - Training and technical assistance needs

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Oversight

Internal Controls Framework (ICF)

- State policy executive branch agencies must ensure adequate internal controls
- State has adopted the COSO ICF
- US Government Accountability Office encouraged LIHEAP grantees to use of COSO ICF in response to major report on the potential for waste, fraud, and abuse
- LIHEAP Program Integrity Work Group identified internal controls as key to ensuring program integrity

133

Oversight

OLA

- Every year EAP gets audited by the Office of Legislative Auditors
- Several weeks in the State Office
- Based on the State fiscal year
- Our audit gets rolled up into one large report that gets submitted to the Feds by March 31st

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Oversight

No Findings from the OLA this Year

- This is due to the oversight systems we have building over the past few years
- We are continuing to improve:
  - To ensure funds are protected
  - To ensure funds are use as intended
  - To ensure more streamlined oversight methods

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Oversight

Other Recent State Level Oversight

- HHS Program Compliance visit, August 2014
- Review of EAP internal control by Commerce's Internal Controls Director
- Due to issues found at CAM:
  - Internal investigation by Commerce's Enforcement Division
  - Review by the OLA of Commerce's actions
  - Review by the OLA of the State's oversight of non-profits, in particular CAPs

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Oversight

Summary

- There are multiple sources of guidance with different requirements for oversight and monitoring
- Requirements are not concretely spelled out
- EAP can't meet all of the requirements through one monitoring visit, one tool, or one plan
- We try to meet the requirements though our overall collection of oversight activities

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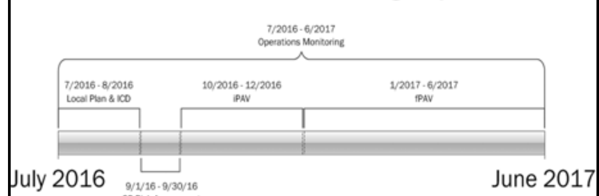
Oversight

The Timeline for Program Oversight

EAP Service Provider Oversight Cycle

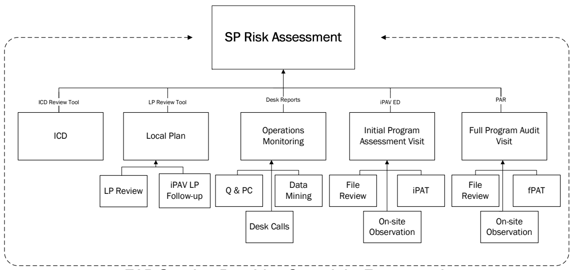


138

COMMERCE

Oversight

The Framework



EAP Service Provider Oversight Framework

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COMMERCE

Oversight

Approach in More Detail

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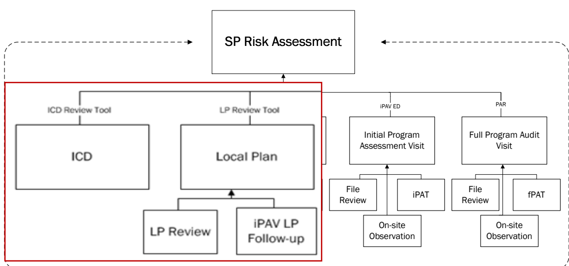
Oversight

The Framework



EAP Service Provider Oversight Framework

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COMMERCE

Oversight

Local Plan and ICD

- Local Plan
  - Intended to provide assurance of Service Provider's preparedness to administer EAP for the upcoming program year
- Internal Controls Documentation (ICD)
  - Enable Commerce to assess Service Provider's internal controls

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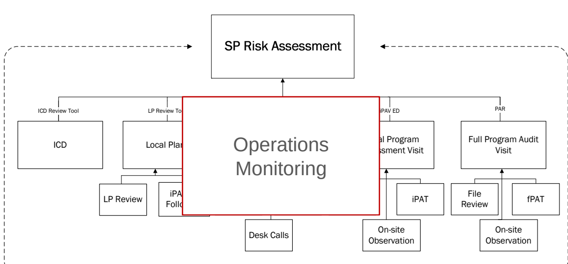
COMMERCE

Oversight



EAP Service Provider Oversight Framework

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COMMERCE

Oversight

Operations Monitoring

Intended to ensure effective and efficient program operations in real time throughout the program year

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Oversight

Operations Monitoring

Includes:

- EAP Production Report
- Application Count Comparison
- Aging Applications Report
- Duplicate Account & Address Checks
- Spenddown and ROOM analysis
- Regularly reviewed at weekly staff meetings

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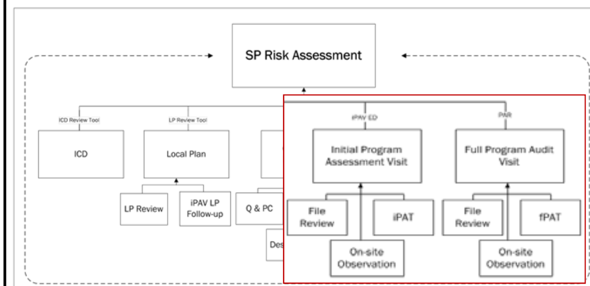
Oversight



EAP Service Provider Oversight Framework

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Oversight

iPAVs and fPAVs

- iPAVs and fPAVs are the most obvious product of the oversight effort
- The next presentation goes in-depth on how we conduct the program audits
- For FFY17 we will be providing an opportunity for SPs to review drafts of their PAR before the are finalized
- Details will follow prior to the next audit cycle (January 2017)

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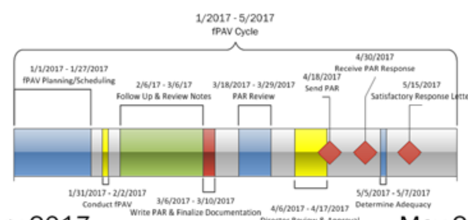
Oversight

fPAV & PAR Timeline (example for 1 SP)



January 2017 May 2017

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Oversight

Recent number of Findings & Recommendations

	Year			
	2013	2014	2015	2016*
Findings	27	26	35	20
Recommendations	58	49	29	22
Total	85	75	64	42

* Includes 24 of 31 PARs to date

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Q&A

Ken Benson

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Program Auditing
Bob Odell

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Program Auditing
Topics

- iPAV & fPAV
- fPAV in more detail
  - Preparing for a visit
  - Conduct the visit
  - Post Visit
- PAR
- FFY2016 findings and recommendations summary

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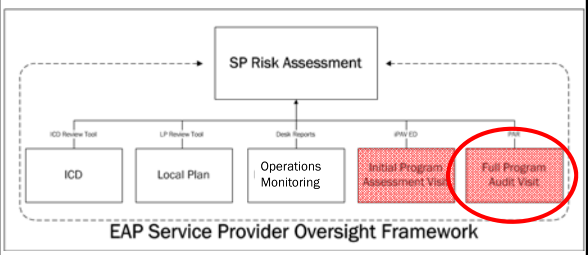
Program Auditing
The Framework



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Program Auditing
iPAV

Intended to proactively ensure program integrity, auditability, and SP readiness to deliver the current year's program

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Program Auditing
iPAV Focus

- Review findings and recommendations from previous year(s)
- Review Local Plan questions and/or issues
- Ensure SP staffing is in place and ready
- File review
- Outreach plan
- Provide Training and Technical Assistance (T&TA)

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Program Auditing
fPAV

Intended to evaluate SP's actual program delivery, with focus on compliance with program policies and procedures, contract, and Local Plan

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Program Auditing
fPAV Focus

- In-depth review of SP's program implementation
- More intensive review of Primary Heat, Crisis and ERR files
- Including, potentially:
  - Reviewing payroll records
  - Inventory
  - Additional documents as requested

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Program Auditing
fPAV in more detail

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Program Auditing
Preparing for a visit

- Schedule the visit
- Enter the visit into the shared EAP calendar
- Logistics

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Program Auditing
Pre-Visit Checklist

<<Service Provider Name>>
FFY2016 Full Program Audit Visit Pre-Visit Checklist

Description	Who	How	Data Provided
Incidents/Appeals	DB	• Check EAP Home issues log by SP and program year. Search all issues. Use "List View." • Check SP's Incident Management folder and/or the overall Incident Management folder.	
FFY15 Timely & accurate reporting FFY16 Timely & accurate reporting	SJS /AL	Click both links (prior year and current year). Includes FSR Timeliness Duplicate Vendor Account Check Duplicate Address Check	
Vendor Issues	JB	JB emails the PPAs relevant Vendor issues for each service provider	
SP Employee Search	MS	Compares Local Plan employee info to eHEAT apps by SP and notes discrepancies.	
Complaints	PPA	Click link.	
Local Plan Review Table	PPA	Click link. Find SP's folder. Review identified local plan issues.	
Agency Application Comparison Report	PPA	PPA runs this off of the report screen in eHEAT	
EAP Production Report (EPR)	PPA	Click link.	
Comm's SP Risk Assessment	PPA	Click link. Check SP Risk Assessment database from EAP Home for issues.	
A16 Proactive ESS Proposals	PPA	Click link, save copy of proposal in SP folder, if any are available. Add to focus area on ED for review.	
fPAV Documents	PPA	Saved in SP fPAV file. Note any issues in the ED.	
SP Travel Requests	PPA	Click and look Expenditure Request folder for FFY14. If a travel request was made and approved, validate: 1) That the actual expenditures for the trip were less than or equal to the DOC approved amount That the people who actually attended were approved by DOC	

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Program Auditing
Pre-Visit Checklist

Items to save in local folder for visit:	Who	How	Data Provided
Local Plan & ICD & Procurement Policy	PPA	Click link. Check SP's folder → Contract folder →SP's FFY16 Contract Folder →	
Previous Year's PAR	PPA	Click link.	
Visit Effort Definition	PPA	Saved in Full Monitoring Visit ED file – Link (Due at SM prior to visit – reviewed at SM post visit)	
EZ & Spark Tracking Sheet	PPA	Click link. Save it to your desktop for use on site.	
Active Vendor report (from eHEAT)	PPA	Click link. Save it to your desktop for use on site.	
Sampling Data	MS KB	▪ PPA schedules their field visit as eap.mail (using the following format – SP# - SPNAME), inviting themselves by Wednesday, close of business, the week prior. This puts the visit on both their calendar and on the eap.mail calendar. ▪ KB sets an alarm for the Thursday of each week reminding himself to download sampling data by checking eap.mail calendar for the next week's SP visits. He puts data in Full Monitoring folder.	
File Examination Worksheet	PPA	The file review template is here. Load downloaded sampling data into file examination worksheet and create sample, using the File Review process document. (Save files in SP file for iPAV)	

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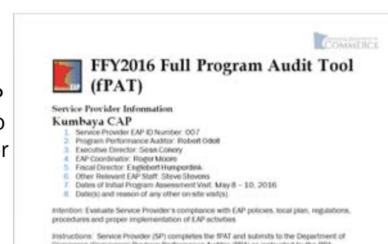
Program Auditing
Program Audit Tool

- Sent right after the visit is scheduled
- Used to gather information and prepare for the visit
  - Staffing
  - A16
  - Outreach
  - General EAP
- SP submits it to Commerce prior to the visit


FFY2016 Full Program Audit Tool (fPAT)

Service Provider Information
Kumbaya CAP

1. Service Provider EAP ID Number: 007
2. Program Performance Auditor: Robert Odell
3. Executive Director: Sean Conery
4. EAP Coordinator: Roger Moore
5. Fiscal Director: Englebert Humperdink
6. Other Relevant EAP Staff: Steve Stevens
7. Dates of Initial Program Assessment Visit: May 8 – 10, 2016
8. Date(s) and reason of any other on-site visit(s):

Intention: Evaluate Service Provider's compliance with EAP policies, local plan, regulations, procedures and proper implementation of EAP activities

Instructions: Service Provider (SP) completes the fPAT and submits to the Department of Commerce (Commerce) Program Performance Auditor (PPA) as instructed by the PPA.

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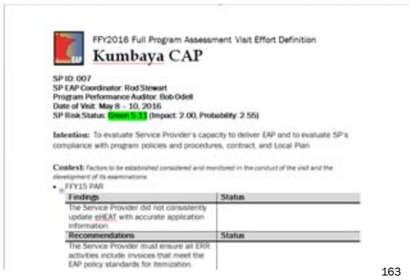
Program Auditing

Visit Effort Definition

- Gathers relevant SP information for a visit
- Focus areas
- Prepared by the PPA
- Shared at the staff meeting



FFY2016 Full Program Assessment Visit Effort Definition

Kumbaya CAP

SP ID: 007
SP EAP Coordinator: Rod Stewart
Program Performance Auditor: Bob Odell
Date of Visit: May 8 – 10, 2016
SP Risk Status: Green 5.11 (Impact: 2.00, Probability: 2.55)

Intention: To evaluate Service Provider's capacity to deliver EAP and to evaluate SP's compliance with program policies and procedures, contract, and Local Plan.

Context: *Factors to be established considered and monitored in the conduct of the visit and the development of its examinations*

- FFY15 PAR

Findings	Status
The Service Provider did not consistently update eHEAT with accurate application information.	
Recommendations	**Status**
The Service Provider must ensure all ERR activities include invoices that meet the EAP policy standards for itemization.	

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Program Auditing

File Sample

- Data is queried from eHEAT for the particular SP
  - Primary heat data
  - Crisis data
  - ERR data
- PPA puts the data into a spreadsheet
- Random sample is created

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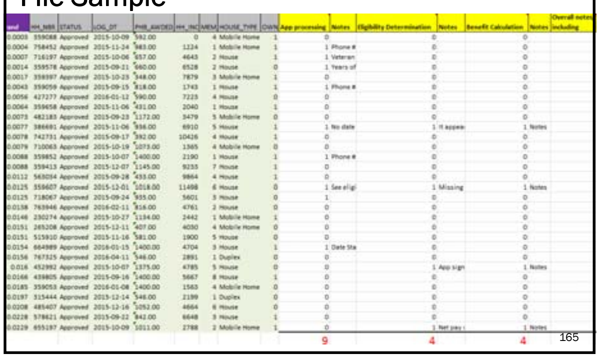
Program Auditing

File Sample



and	HH_NBR	STATUS	LOG_DT	PHB_AWDED	HH_INC	MEM	HOUSE_TYPE	OWN	App processing	Notes	Eligibility Determination	Notes	Benefit Calculation	Notes	Overall notes including
0.0003	359088	Approved	2015-10-09	592.00	0	4	Mobile Home	1	0		0		0		
0.0004	758452	Approved	2015-11-24	983.00	1224	1	Mobile Home	1	1	Phone #	0		0		
0.0007	716197	Approved	2015-10-06	657.00	4643	2	House	1	1	Veteran	0		0		
0.0014	359578	Approved	2015-09-21	660.00	6528	2	House	0	1	Years of	0		0		
0.0017	358397	Approved	2015-10-23	348.00	7879	3	Mobile Home	1	0		0		0		
0.0043	359059	Approved	2015-09-15	818.00	1743	1	House	1	1	Phone #	0		0		
0.0056	427277	Approved	2016-01-12	590.00	7223	4	House	0	0		0		0		
0.0064	359658	Approved	2015-11-06	431.00	2040	1	House	1	0		0		0		
0.0073	482183	Approved	2015-09-23	1172.00	3479	5	Mobile Home	0	0		0		0		
0.0077	386681	Approved	2015-11-06	936.00	6910	5	House	1	1	No date	1	It appea	1	Notes	
0.0078	742731	Approved	2015-09-17	392.00	10426	4	House	1	0		0		0		
0.0079	710063	Approved	2015-10-19	1073.00	1365	4	Mobile Home	0	0		0		0		
0.0088	359852	Approved	2015-10-07	1400.00	2190	1	House	1	1	Phone #	0		0		
0.0088	359413	Approved	2015-12-07	1145.00	9233	7	House	1	0		0		0		
0.0112	563034	Approved	2015-09-28	433.00	9864	4	House	1	0		0		0		
0.0125	359607	Approved	2015-12-01	1018.00	11498	6	House	0	1	See eligi	1	Missing	1	Notes	
0.0125	718067	Approved	2015-09-24	935.00	5601	3	House	0	1		0		0		
0.0138	763946	Approved	2016-02-11	816.00	4761	2	House	0	0		0		0		
0.0146	230274	Approved	2015-10-27	1134.00	2442	1	Mobile Home	1	0		0		0		
0.0151	265208	Approved	2015-12-11	407.00	4030	4	Mobile Home	0	0		0		0		
0.0151	515910	Approved	2015-11-16	581.00	1900	5	House	0	0		0		0		
0.0154	664989	Approved	2016-01-15	1400.00	4704	3	House	1	1	Date Sta	0		0		
0.0156	767325	Approved	2016-04-11	546.00	2891	1	Duplex	0	0		0		0		
0.016	452992	Approved	2015-10-07	1375.00	4785	5	House	0	0		1	App sign	1	Notes	
0.0166	439805	Approved	2015-09-16	1400.00	5667	8	House	1	0		0		0		
0.0185	359053	Approved	2016-01-08	1400.00	1563	4	Mobile Home	0	0		0		0		
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0.0228	578621	Approved	2015-09-22	842.00	6648	3	House	1	0		0		0		
0.0229	655197	Approved	2015-10-09	1011.00	2788	2	Mobile Home	1	0		1	Net pay	1	Notes	
									9		4		4		

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Program Auditing

Conduct the Full Visit

Entrance Interview

- Meet the EAP Coordinator and other EAP staff
- Tour the facility
- Discuss:
  - Plan for the visit
  - Effort definition
  - Focus points
  - Any questions or concerns of the SP
- Get set-up with a work area and files

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Program Auditing

File Sample Review – What do we look for?

- PH – 30 files, plus:
  - 5 Self employment
  - 5 No income
  - 5 Denied
- Crisis – 30 files
- ERR – 5 files (2 repair & 3 replacements), plus
  - All tasks > $5,000
- SP employee apps (Crisis, ERR)

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Program Auditing

File Sample Review – What do we look for?

- Apps are dated/signed by applicant
- Apps are date stamped / logged day they arrive
- Complete, documented income for HHD members
- Accurate income calculation of EAP HH
- Complete documentation notes in file/in eHEAT
- Copies of any correspondence with HHD
- Documentation of research done in response to a question, complaint, or appeal, if applicable
- Delivery of timely program services
- All info from the app is accurately entered in eHEAT, or otherwise noted

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Program Auditing

File Sample Review – What do we look for?

PH – Eligibility Determination

- HHD member info
- HHD income documentation & calculation
- Housing type & status (e.g., subsidized, HIR)

PH – Benefit Amount Determination

- All of the above, plus:
  - Fuel type
  - Home heating system status (e.g., dual fuel)
  - Consumption

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Program Auditing

File Sample Review – What do we look for?

Crisis – Eligibility Determination

- That the HHD was eligible for PH
- The HHD must have requested assistance for an eligible energy emergency by either:
  - Submitting a bill, disconnect notice or disconnection document verifying the energy emergency; or
  - Notifying the Service Provider of an energy emergency (on the app, phone, etc.)
- The emergency situation was verified and documented by the SP with the energy vendor prior to the crisis benefit is determined

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Program Auditing

File Sample Review – What do we look for?

Crisis – SP Response

- The applicant was occupying the dwelling at the time the crisis benefit was requested
- There was not a redundant heating system
- That there was an eligible Crisis reason
- HHD's past due bills are in file or there is documentation of the emergency
- Documentation of energy vendor verification
- Available PH payments did not resolve the emergency. Check if PH payments were made payable after crisis benefit determined

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Program Auditing

File Sample Review – What do we look for?

Crisis – Benefit Amount Determination

- SP - HHD correspondence notes in file or eHEAT
- Check that eHEAT crisis reason matches documented rationale
- Reasonability checks for delivered fuel
- 18 /48 hour response rules
- Reported /completion/approval/payment date
- That any available primary heat payments were collapsed and rescheduled prior to making the crisis payment

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Program Auditing

File Sample Review – What do we look for?

ERR – Eligibility

- Documentation of:
  - Proof of ownership
  - Qualified dwelling
  - Valid request for repair or replacement, including description of the problem
  - Eligible heating system (e.g., not redundant)
- ERR-related app info matches eHEAT info
- Verify that changes to app are documented

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Program Auditing

File Sample Review – What do we look for?

ERR – SP Response

- Follows 18 /48 hour response rules
- Compare reported date to complete/approval/payment dates
- Documentation that temporary heat was provided appropriately

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Program Auditing

File Sample Review – What do we look for?

ERR – Benefit Amount Determination

Documentation of:

- Contractor/SP assessment of problem (need for repair or replacement)
- "Manual J" calculations

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MINNESOTA DEPARTMENT OF COMMERCE

Program Auditing

File Sample Review – What do we look for?

ERR – Other

- Furnace Replacement Inspection Tool
  - 50% of furnace replacements & retrofits inspected
  - Must be inspected prior to contractor payment
- Completion Certificate
  - Required for all repairs & replacements > $1,000
  - Signed and dated by homeowner & contractor
  - Must include model and serial numbers
  - If inspected, inspector signature
- Itemized Invoices
- Procurement approach

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MINNESOTA DEPARTMENT OF COMMERCE

Program Auditing

File Sample

and	HH_NBR	STATUS	LOG_DT	PHB_AWDED	HH_INC	MEM	HOUSE_TYPE	OWN	App processing	Notes	Eligibility Determination	Notes	Benefit Calculation	Notes	Overall notes including
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0.0229	655197	Approved	2015-10-09	1011.00	2788	2	Mobile Home	1	0		1	Net pay i	1	Notes	
									9		4		4		

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MINNESOTA DEPARTMENT OF COMMERCE

Program Auditing

During the Full Visit

- Review the Program Audit Tool
- Gather relevant documents
  - Payroll records charged to EAP Admin and A16 funds, by employee
  - Examples of Outreach materials (e.g., brochures, posters, etc.)
  - Other

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Program Auditing

Exit Interview

- Review the results of the visit with the EAP Coordinator
- Discuss the results of the file review
  - Give the Coordinator a list of the issues found Discuss what happens next

2016 FPAV Kumbaya CAP

HH Number	Issue	SP Response
867530	Phone number for authorized representative needs to be updated, please update.	
256415	Home phone number is not updated in eHeat, please update.	
954815	Phone numbers not updated in eHeat, please update.	
225458	Daytime phone number not updated in eHeat, please update.	
458654	App not signed and dated, please get the HH to sign the application. After they sign, please make a note in eHeat that they signed and let me know.	

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MINNESOTA DEPARTMENT OF COMMERCE

Program Auditing

Post Visit

- Share the effort definition with Commerce staff
  - Update with results and information from the visit
  - Share any SP questions/concerns
  - Get input on visit from EAP Staff
- Communicate with the SP
  - Get Audit Disclosure Letter
  - Get updates
  - Clear up any issues and concerns
  - Collect any other documents or information

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Program Auditing
PAR

- Draft the PAR
  - After all the information from the visit is gathered and analyzed
  - Send PAR for review to MS (checks consistency, etc.)
  - JH conducts final review
    - Approves or questions
- SP PAR review (process to be finalized January 2017)
- Final PAR is sent to SP
- SP Response
- Satisfactory Response Letter

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Program Auditing
Recent # of Findings & Recommendations

	Year			
	2013	2014	2015	2016*
Findings	27	26	35	20
Recommendations	58	49	29	22
Total	85	75	64	42

*Includes 26 of the 31 PARs to date

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Program Auditing
8 Findings & Recommendations Categories

Category	Description
Application Processing	• Not updating data • Not entering accurate data • Missing date stamps on applications • Application not being logged on the day it was date stamped (received)
Income Calculation	• Not performing accurate calculations • Using wrong months of income

3

Program Auditing
8 Findings & Recommendations Categories

Category	Description

ERR	• Invoices not properly itemized
	• Required ERR documentation not in file or not completed
	  • Proof of home ownership
	  • Incomplete or missing Completion Certificates
	  • Incomplete or missing Inspection Tool Forms
	  • Missing Manual J
	  • Procurement documentation - bids
	• “Contractor/SP assessment of the ERR problem” in eHEAT not complete

4

Program Auditing
8 Findings & Recommendations Categories

Category	Description
A16	• Not logging/recording A16 data
Vendor Issues	• Failure to conduct vendor monitoring • Vendor agreements missing or not properly completed or not signed
Communication Issues	• Timely responses to commerce inquiries • Timely report submission

5

Program Auditing
Summary of FFY16 Findings & Recommendations*

Category	Findings	Recommendations
Application Processing	8	3
Income Calculation	2	0
Crisis Processing	1	0
ERR	6	10
A16	1	1
Vendor Issues	1	3
Communication Issues	0	3

*Includes 26 of the 31 PARs to date

186

Program Auditing

Questions During the Program Year

- Call or email your Program Performance Auditor
- Can also email questions to eap.mail@state.mn.us
- Emails with private HHD data must be sent securely
  - Check with your IT staff about how to do this

187

Q&A

Ken Benson

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Q&A

Ken Benson

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Fiscal Management

Jana Dietering

190

Introductions

Jana Dietering - Financial Mgmt. Oversight

- Approving and Reconciling Cash Requests
- Approving and Reconciling FSRs
- Budget Oversight at the State Level
- Single Audit Reviews and Follow Up
- Year End Reconciliations

Jana.Dietering@state.mn.us

191

Introductions

Donna Leonard - NFAs and eHEAT Refunds

- eHEAT Refund Management
- Creating NFAs and point of contact for questions
- Assist with Approving and Reconciling FSRs
- Assist with Approving and Reconciling Cash Requests
- Assist with Year End Reconciliations

Donna.Leonard@state.mn.us

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Notice of Funds Available

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Notice of Funds Available

Authority to obligate funds

- NFA is a legal document associated with a LIHEAP contract
- No costs can be incurred prior to the date on the signed NFA
- Revised NFAs can be sent out throughout the grant year with adjusted totals
- NFAs eliminate the need for contract amendments

194

Notice of Funds Available

Distribution of NFAs

- Contract Period and Contract Number
- NFA Number
- Grantor's Name and Address
- Service Provider's Name and Address
- Title of Each Fund with Fund ID and Award ID
- DUNS #
- Prior Level, Change, New Level
- Indirect Rate/Allocation Plan

195

Notice of Funds Available

SP ID #0 NFA FY16 #1

Notice of Funds Available

Minnesota Department of Commerce
ENERGY ASSISTANCE PROGRAM

GRANTEE: **Agency Name** GRANTOR: MN Dept of Commerce

Agency Address 85 7th Place East, Suite 500
St. Paul, MN 55101-2198

DUNS # Vendor No.
Indirect Rate: SWIFT No.

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Notice of Funds Available

FUNDING SUMMARY

Program Title	Fund ID #	Program Period	Prior Level	Change	New Level
ENERGY ASSISTANCE PROGRAM	1563	10/01/15 to 9/30/16			
eHEAT Primary Heat					
Energy Related Repair			$71,270	$0	$71,270
eHEAT Crisis					
Administration			$254,410	$27,882	$282,292
A16 Outreach & Responsive ESS			$125,531	$39,713	$165,244
A16 Proactive ESS			$0	$0	$0
	Total EAP:		$451,211	$67,595	$518,806
TOTAL CONTRACT - ALL SOURCES			$451,211	$67,595	$518,806

APPROVED BY__________ DATE__________

If you have any questions concerning this NFA, please contact Donna Leonard at 651-539-1521

197

Notice of Funds Available

Authority to obligate funds

- NFAs are distributed to agencies only if contracts are fully executed
- NFAs are e-mailed to EAP Coordinators and Executive Directors
- NFAs should be distributed internally to any other key staff as needed
- Revised NFAs will replace the original NFAs throughout the program year as needed

198

Financial Status Report (FSR)

199

Financial Status Report (FSR)

Who should review FSR?

- Fiscal staff who works closely with EAP
- EAP Coordinator
- Other key staff

200

Financial Status Report (FSR)

What should be reviewed?

- Budget categories correct
- Budget categories within their allocation
- Unusual expenses (make note in SP box)
- Major deviations from the budget
- Correct month and program year
- Program income

201

Financial Status Report (FSR)

After-the-fact corrections

1. If any corrections were made in agencies' general ledger (GL) corresponding adjustments need to follow on monthly or final FSR
2. Notify EAP mailbox to reopen FSR in eHEAT
3. Resubmit revised FSR and make note in SP box regarding the cause of the change
4. Review GL corrections with numbers submitted on revised FSR

202

Cash Request (CR)

203

Cash Request (CR)

Who should have access to eHEAT cash requests?

- Fiscal Staff that works closely with EAP
- EAP Coordinator

204

Cash Request (CR)

What should be reviewed?

- Comply with the 3-day cash on hand rule
- Amounts don't exceed remaining balance
- "Unreasonable" requests (make note in SP box)
- Remaining balance matches GL record
- Verify Time Period and Program Year

205

Cash Request (CR)

Refund Check Procedures

1. Send refund checks to Commerce at the general mailing address
2. If a refund check was send to Commerce follow up with a negative CR in eHEAT
3. Make note in SP box about the reason for the negative CR

206

Cash Request (CR)

Internal Controls

- Written procedures in place that explain process
- Cross training staff involved with reporting
- Segregation of duties
- Standardized Accounting Procedures
- Frequent reconciliations
- Check eHEAT for any denied cash requests/FSRs and required re-submissions

207

Year End Reconciliation

208

Year End Reconciliation

Notes

- Final signed FSRs along with a closeout package will have to be submitted by Nov 1st
- If possible submit final FSR before due date
- Final Cash Requests are due Nov 1, 2016
- All program income must be reported as spent on the final FSR

209

Year End Reconciliation

Notes

- If positive cash on hand balance has been identified submit refund check to Commerce by Nov 1st and follow up with revisions in eHEAT
- Identify incorrect or missing cash payments before final reconciliations to facilitate and shorten the reconciliation process
- Final GL balances should match cash request totals and final FSR totals in eHEAT

210

Single Audit Process

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Single Audit Process

Single Audit Due Dates

- Submit Single Audit to Commerce no later than nine months after the end of the audit period
- It can be submitted electronically to Jana.Dietering@state.mn.us or via mail to Commerce
- Commerce fiscal and program staff reviews single audit
- Management decision letter will be sent if audit findings require follow up

212

Audit Findings

Program Specific Audit Findings
- Audit Findings specific to LIHEAP
- Commerce is responsible for follow up

Cross Cutting Audit Findings
- Audit Findings impact the federal program of more than one agency
- If Commerce is the responsible agency Commerce will have to follow up on resolution of these audit findings

213

Audit Findings

Responsibilities of Service Provider

- Review Management Decision Letter with key staff
- Implement Procedures and Improvements to address and solve all audit findings
- If correction action plan is required follow up with implementation plan
- Communicate with Commerce regarding resolution of corrective action plan including a summary schedule of resolved audit findings (see 2 CFR §200.511)

214

Q&A

Ken Benson

215

Weatherization Update

Jake McAlpine

Weatherization Assistance Program Coordinator

216

Weatherization Update

Topics

- WAP Overview
  - WAP Service
  - WAP Network & Funding
- Recent Changes
  - Standard Work Specification
  - Quality Control Inspection
  - Training Standard
- Review PY15

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Weatherization Overview

218

Weatherization History

Signed into law in 1976

Early Program

- Lower cost jobs
- Prescriptive measures
  - Storm windows,
  - Weather stripping,
  - Caulking, etc.


219

Weatherization Update

Modern Program

- House as a System approach
  - Increased focus on health and safety
  - Advanced diagnostic techniques
  - Advanced installation techniques



220

Weatherization Services

Seal air leaks


221

Weatherization Services

Insulation

- Attic
- Wall
- Foundation



222

Weatherization Services

Heating System

- Repair/replacement

223

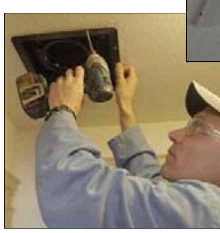
Weatherization Services

Lighting upgrades

224

Weatherization Services

ASHRAE 62.2 ventilation



225

Weatherization Services

Health & Safety items

- CO & smoke detectors
- Dryer vents

226

Weatherization Funding

Three main funding sources

- US Department of Energy
- EAPWX transfer
- Conservation Improvement Program (CIP)

227

Weatherization Funding

- Funds are:
  - Used to weatherize homes
  - Aligned with DOE rules
- Work is:
  - Determined by a comprehensive energy audit
  - Inspected by a quality certified inspector
  - Monitored by Commerce (field, admin, desk)

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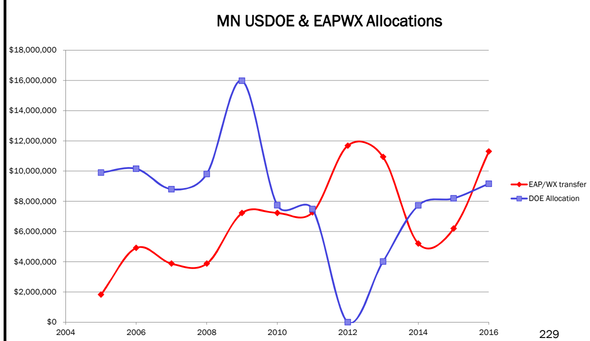
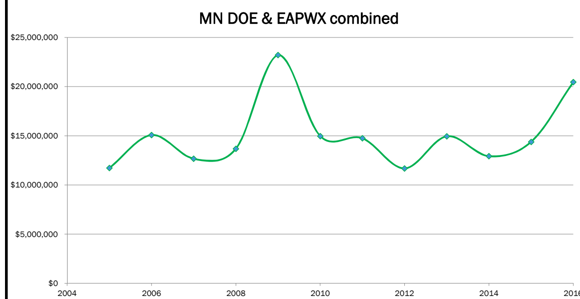
MINNESOTA DEPARTMENT OF COMMERCE

MN Weatherization Funding



229

MN Weatherization Funding



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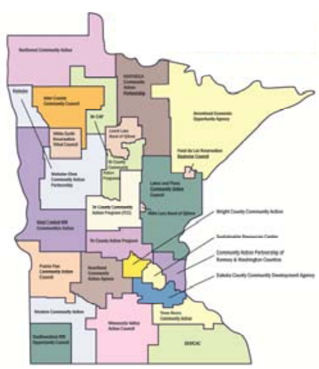
MN WAP Service Providers



- 25 WAP Service Providers
  - 19 CAPs
  - 4 Tribal Nations
  - 1 Local Unit of Gov.
  - 1 Non-Profit

231

Recent Changes

232

Recent Changes

Standard Work Specification (SWS)

- For each measure:
  - Desired Outcomes - broad
  - Objectives – more specific
  - Specification (tasks) – very detailed
- For each task it asks:
  - What would a high quality outcome be?
  - What steps are need to achieve that outcome?

233

Recent Changes

Quality Control Inspection (QCI)

- Certified inspection for 100% of jobs
  - File review
  - Onsite inspection
  - Diagnostic testing
  - File closeout
  - Feedback process

234

Recent Changes

Training Standards

- Tier 1
  - IREC accredited
  - Comprehensive training for each job type:
    - Auditor, inspector, crew leader, & crew member
  - Regular basis
- Tier 2
  - Topic specific:
    - Ventilation, mechanical systems, & testing procedures
  - As needed basis

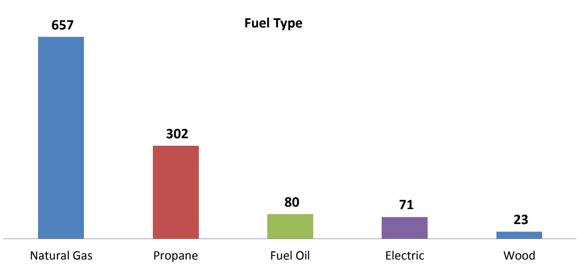
235

PY15 Review

236

PY15 Review

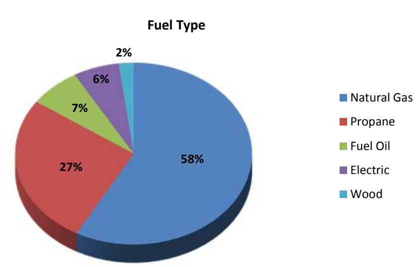
EAPWX Households Served = 1,138



237

PY15 Review

EAPWX Households Served =1,138



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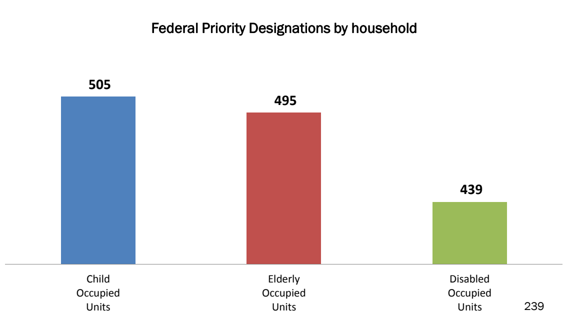
PY15 Review



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PY15 Review

Total Occupants = 3,011

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PY15 Review

"Thank you, thank you, thank you! I simply can't believe how much my energy bill has gone down - $60 per month in the winter now instead of $200 - saved me so much I didn't have to apply to energy assistance!"

- CAPRW client

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Q&A

Jake McApline

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Environmental Initiative

Mikey Weitekamp

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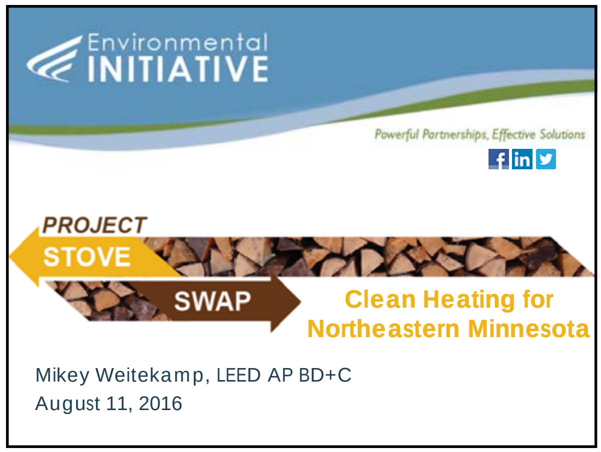


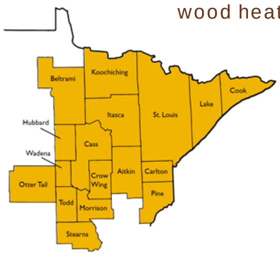
Environmental Initiative **builds partnerships** to develop collaborative solutions to Minnesota's environmental problems.

MINNESOTA DEPARTMENT OF COMMERCE

PROJECT STOVE SWAP

Background & Eligibility

Targeting Uncertified primary or major wood heating sources, including:



- Wood Stoves & Inserts
- Pellet Stoves & Inserts
- Hydronic Heaters
- Wood Furnaces
- Open Fireplaces

PROJECT STOVE SWAP

Income-Qualified Incentives

20% of funding set aside for income-qualified customers

- Incentives ranging from $3,000 to $10,000, depending on appliance
- Income Qualification:
  - LIHEAP
  - SNAP
  - WIC
  - Medical Assistance

PROJECT STOVE SWAP

Program Benefits

Save Money	Increase Safety	Breathe Easy
		

PROJECT STOVE SWAP

Opportunities for Collaboration

- Customer Recruitment
- Leveraged Funding
- Program Promotion

Let's Meet!

Environmental INITIATIVE
Powerful Partnerships, Effective Solutions

PROJECT STOVE SWAP

Mikey Weitekamp, LEED AP BD+C
Senior Project Manager
612-334-3388, ext. 8109
mweitekamp@en-in.org
environmental-initiative.org

MINNESOTA DEPARTMENT OF COMMERCE

eHEAT Next Generation

Jeff Mitchell

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Next Generation eHEAT

Topics

- Background
- Major Goals
- Project Scope
- Proposed Project & Timeline

253

Next Generation eHEAT

- At some point eHEAT needs to be replaced
- New system development can be funded with program money
- Under consideration in Commerce in context of other technology efforts
- Budgeted $2.5M with FFY16 funds but did not get approval
- Budgeting funds for FFY17

254

Next Generation eHEAT

Background:

- eHEAT launched on October 1, 2004
- When developed, eHEAT modernized EAP delivery
- Although it still functions well, eHEAT needs to be updated to ensure it:
  - Meets the needs of the program
  - Keeps pace with security
  - Can take advantage of technological innovation

Next Generation eHEAT

Major Goals:

- Automate person identification & income validation
- Automate online application
- Improve system security
- Improve fiscal controls and auditability

Next Generation eHEAT

Project Scope

The Project Definition provides a commonly understood and agreed to purpose and boundary and is used to guide all development of content and guide the execution of the project.

By defining 4 areas:

- Intention
- Focus
- Values
- Context

Next Generation eHEAT

Project Intentions: *Describe the purposes or reasons the project is undertaken; the expected end results from the effort.*

- Improve customer service & efficiency of service delivery
- Make sure business tools meet the changing needs of the business
- Improve business controls
- Reduce cost of hosting and mailing functions
- Ensure system and data security
- Improve seamlessness in interaction between EAP and WAP services and providers
- Protect value of original investment by assuring software remains viable

Next Generation eHEAT

Focus: *A statement of project domain or portion of the business to be examined & provided for by the solution.*

For EAP and WAP
- Exploring eHEAT user interface to improve efficiency
- Improve system security (technical and user level)
- Adding new technical functionality (on-line application, scanning, electronic person identification & income verification, web service etc.)
- Updating software and hardware

Integration
- Service delivery approach
- Re-engineering Service Provider auditing

Next Generation eHEAT

Values: *The set of beliefs, trade-offs, and judgment guidelines govern the effort and the efforts to obtain them*
- Being good stewards of taxpayer's money
- The exceptional quality of the eHEAT design, coding and architecture
- The original investment
- Forward thinking (Proactive Planning) as a way to reduce future expenses
- Including users & stakeholders to assure the solution meets the needs of the program

Next Generation eHEAT

Context *Other parameters that should be commonly established considered and monitored in the conduct of the plan and the development of its deliverables. This is the context in which the plan to be considered successful*
- eHEAT has administered over $1.5 billion in EAP funds & delivered over 1.6 million grants to households
- eHEAT brought greater controls on funds and services
- Software often is left behind both by technological innovation and business changes
- The project is planned to take about 20 months from initiation to launch the new system
- The project includes another 6 months for post-production support

Next Generation eHEAT

Project Approach/Methodology

The project method puts the business needs at the center of development of technology by placing the business team, including stakeholders, in the center of all efforts in terms of:
- Contributing expertise
- Making policy, priority, and economic decisions
- Determining the ongoing and final success of the effort; Assuring the business needs for serving to the program participants are the ones being served.

Next Generation eHEAT

Project Approach/Methodology

The following techniques and sub-techniques will be used:
- Joint Approach to Development (JAD)
- Incremental Development

Next Generation eHEAT

Proposed High Level Plan

4 Phased Project
- Phase 1 – Establish Project
- Phase 2 – Analysis & Design
- Phase 3 – Design & Build
- Phase 4 – Implementation & Production Support

Next Generation eHEAT

Phase 1 – Establish Project - 3 Months

- Determine Project Scope
- Plan Project
- Identifying stakeholders
- Securing Resources
- Organizing project teams and administration

Next Generation eHEAT

Phase 2 – Analysis and Design - 6 Months

Discovery of Current & candidate re-engineering

- Model current business
- Conduct user sessions to identify improvements
- Explore eHEAT technical improvement opportunities

Assessment

- Explore technical enhancement to improve business efficiencies and controls
- Determine if Candidates are viable

Specification

- For all changes to be made,
- Develop specific details for To-Be system

Next Generation eHEAT

Phase 3 – Design & Build - 12 Months

Design

- Develop blue print based on specifications
- Assess how new functionality can use existing eHEAT architecture
- Determine what is new functions to be developed

Build

- Acquire
- Code new functions and changes and test

Next Generation eHEAT

Phase 4: Implement & Support - 6 months

Implement

- Training
- Integrate
- Transition

Support

- Fixes
- Tune and enhance

Next Generation eHEAT

Project Costs

Total cost of the project is estimated at $2.9 to $4.3million. These cost include staff time, session expenses, travel, equipment and contractors:

- Phase 1: $50,000 to $70,000
- Phase 2: $450,000 to $600,000
- Phase 3: $1.6M to $2.6M
- Phase 4: $800,000 to $1M

Q & A

Debrief

Jeff Mitchell

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Adjourn & Next Steps

John Harvanko

- PowerPoints are on the web
- Turn Around Document (TAD) next week
- Films

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For office use only

HH:_________________
Referral ☐ ___________
Rep#:_________________
Grant amount:__________

Please use black ink to complete your application

2016-2017 MINNESOTA ENERGY PROGRAMS APPLICATION

MINNESOTA DEPARTMENT OF COMMERCE

Before completing this application, carefully read the enclosed "Your Rights and Responsibilities" and Instructions.

Part 1. Personal Information - Verify all preprinted information is correct. Enter changes as needed.

Your Social Security Number	Disclosure of Social Security Number for the primary applicant is required. If you do not provide your verifiable social security number, your application cannot be processed. AUTHORITY: Section 205(c)(2)(C)(i) of the Social Security Act, 42 U.S.C. § 405(c)(2)(C)(i) USE: The State will use Social Security Numbers in the administration of the LIHEAP to verify information supplied on the application, to prevent, detect, and correct fraud, waste, and abuse, and for the purpose of responding to requests for information from agency programs funded by block grants to states for temporary assistance for families in need.

Your Name: MM - DD - YYYYY

First Name ____ M.I. ____ Last Name ____ Date of Birth ____-____-____

Current Home Address:

Street ____ Apt # ____ City ____ State MN ____ Zip Code ____,____

Mailing Address (if different from Home Address)

Street or POBox ____ Apt # ____ City ____ State MN ____ Zip Code ____,____

County: ____ **Township:** ____

Home Phone: (_______)____________________ **Other Phone (if different from Home Phone):** (_______)____________________

Primary Language spoken in home: ____ **E-Mail Address:** ____

Authorized Representative: If you complete this section, you give the "Authorized Representative" permission to act for you. First Name,__________________________Last Name__________________________Phone (______)________________

If you would like the **Authorized Representative** to get the mail on behalf of you, please fill in the address below:

Street or POBox ____ Apt # ____ City ____ State MN ____ Zip Code ____,____

YOU MUST SIGN AND DATE THIS APPLICATION AT THE BOTTOM OF THE LAST PAGE

Part 2. Household Information

LIST ALL HOUSEHOLD MEMBERS, STARTING WITH YOU:

First Name, M.I, & Last Name	Social Security Number	Date of Birth MM-DD-YYYY	Race	His-panic Y/N	Sex M/F	Dis-ability Y/ N	Years Of School	Veteran Y/N	Have Income Y/N
1. (self)	(required)	- -							
2.		- -							
3.		- -							
4.		- -							
5.		- -							
6.		- -							
7.		- -							
8.		- -							

Attach a separate sheet if necessary for any additional household members.

Race: **A** = Asian **B** = Black or African American **I** = American Indian or Alaska Native
P = Native Hawaiian or Other Pacific Islander **W** = White **M** = Multi Race **O** = Other

Is anyone in your household currently an employee *or* board member of this energy assistance agency? ☐Yes ☐No

How many people in your household had income in the past 3 months? ________________

How many members of your household do NOT have health insurance? ______________

INCOME, BENEFITS AND OTHER ASSISTANCE (Check all that apply for your household and **send proof of income**)

- ☐ Wages
- ☐ Self-Employment/Farm Income*
  Date Business started: ______ ______
- ☐ Rental Income
- ☐ Unemployment Compensation
- ☐ Workers' Compensation
- ☐ Interest or Dividend Income
- ☐ Contract for Deed Interest
- ☐ Veterans' Benefits
- ☐ Social Security Retirement Benefits
- ☐ Soc. Security Disability Income (SSDI)

- ☐ Supplemental Security Income (SSI)
- ☐ Retirement Survivors Disability Insurance (RSDI)
- ☐ Retirement Income
- ☐ Pension/Annuity (including quarterly & annual)
- ☐ Tribal Per Capita Payments
- ☐ Tribal Judgments or Tribal Bonus
- ☐ Diversionary Work (DWP)
- ☐ Long/Short-term Disability
- ☐ Minnesota Family Investment Program (MFIP)
- ☐ General Assistance (GA)
- ☐ Alimony or Spousal Support

- ☐ Other income not listed:
  ____
  ____

No proof of income required for the following sources:

- ☐ Child Support
  Monthly amount $____________
- ☐ Food Support
- ☐ Earned Income Tax Credit
- ☐ No Income (Please call us at <<SP PHONE>>)

Send proof of all gross income received by all people in your household in the **last 3 full calendar months.** Send copies, originals will not be returned. Wages for children in grades K-12 are not counted.

*If self-employed, send first 2 pages of your most recent IRS-1040 tax return. Contact your local EAP Service Provider if your business was started less than two years ago.

Your application will be delayed if you do not include proof of income.

You must sign and date the last page of the application. It must be postmarked or received on or before:

May 31, 2017

If you sign application in:	**Send proof of gross income received in the months of:**
Aug 2016	May, June, July 2016
Sept 2016	June, July, Aug 2016
Oct 2016	July, Aug, Sept 2016
Nov 2016	Aug, Sept, Oct 2016
Dec 2016	Sept, Oct, Nov 2016
Jan 2017	Oct, Nov, Dec 2016
Feb 2017	Nov, Dec 2016, Jan 2017
Mar 2017	Dec 2016, Jan, Feb 2017
Apr 2017	Jan, Feb, March, 2017
May 2017	Feb, March, April 2017

For EAP, your household income cannot be more than these income guidelines for three months:

Household Size	**Income**
1	$6,135
2	$8,023
3	$9,910
4	$11,798
5	$13,686
6	$15,574
7	$15,928
8	$16,282
9	$16,636

Part 3. Housing Information

Type of Housing:
- ☐ House
- ☐ Apartment/Condo
- ☐ Townhouse
- ☐ Mobile Home
- ☐ Duplex
- ☐ Triplex
- ☐ Fourplex
- ☐ Other________________

How long have you lived in your current home?

_______Years ______Months

Do you pay for rent or mortgage? ☐Yes ☐No If **yes**, amount ($):__________ **(required)**

Renters: Do you get a rent subsidy or do you live in subsidized housing? ☐Yes ☐No

Is heat included in your rent? ☐Yes ☐No Is electricity included in your rent? ☐Yes ☐No

Landlord's Name:______________________________________Phone:(____)______________

Address:____

Homeowners: Do you own or are you buying your home? ☐Yes ☐No

If your furnace/heating system is currently **NOT** working, check this box: ☐

Call us immediately at <<SP PHONE>> if your furnace/heating system is not working

Business Use of Home: If you are self-employed, is the business at your home? ☐Yes ☐No

If **Yes**, what kind of business and what work is done in your home or on your property?

____

Do you rent out part of your home to anyone? ☐Yes ☐No

Part 4. Heat Sources (note: Electricity is only a heat source when used to provide heat to one or more rooms.)

Put "1" in the box by the **heating** fuel you use the most and "2" by other heating fuels you use to heat your home.

Oil		Propane/LP		Wood		Pellets		Municipal Steam	
Natural Gas		Electricity		Corn		Other Biofuel		St. Paul Dist. Heating	

What energy companies supply heat and electricity to your home?

	Heating No. 1	Heating No. 2	Electric
Company Name:			
Name on Account:			
Account number:			

SEND A COPY OF YOUR LAST HEAT AND ELECTRIC BILLS OR FUEL RECEIPT WITH THIS APPLICATION

Do you heat with wood, pellets, corn or other biofuel? ☐Yes ☐ No If **Yes**, answer the next 3 questions

1. What percent of your heat does this supply? (use chart) **(Circle the percent used last year from wood, corn, pellets, other.):**
2. Do you cut your wood or grow fuel corn? ☐Yes ☐ No
3. How many bedrooms are in your home? ___________

10%	20%	30%	40%	50%	60%	70%	80%	90%	100%
Use sometimes			Half of the time			Almost Always			All

If you are having an energy emergency right now, check type of emergency below and send a copy of the notice from your energy company showing the amount owed:

☐ Already disconnected. Company: ____________ Disconnect Date:_________________ Amount Owed:_________________

☐ Received disconnect notice. Company:______________ Date Scheduled:_______________ Amount Owed:_____________

☐ Fuel tank empty (or less than 20% in tank). What % is in your tank today:____________ Amount Owed:________________

Please contact your energy company to set up a payment plan.

Do you use electricity to heat your home? ☐ Yes ☐ No. If yes, check the box(es) below to indicate how it is used.

☐ Furnace fan/blower only

☐ Space heaters used as needed

☐ Space heaters are the <u>only</u> source of heat for one or many rooms. List the room(s):___________________________

☐ **Other electric heat used**. Check all that apply: ☐Baseboard Heat ☐In Floor System ☐Electric Furnace ☐Heat Pump

List the rooms where electric heat type above is the <u>only</u> source of heat: ____________________________________

If you are not registered to vote, would you like a voter registration card? ☐ Yes *(You do not have to answer this question)*

Would you like 30% of your energy assistance benefit paid on your electric bill? ☐Yes ☐No

Part 5. Consent and Signature for October 1, 2016 to September 30, 2017

1. I give my consent for my heating and electric companies to give data about my account and energy use to the Minnesota Department of Commerce (Commerce) and Commerce's contractors for the Energy Assistance Program (EAP), the Weatherization Assistance Program (WAP) and the Conservation Improvement Program (CIP).
2. I authorize the Social Security Administration and the Minnesota Department of Human Services (MDHS) and its affiliated agencies to share data concerning my Social Security Number and public benefits received within the last year for eligibility for benefits with Commerce and Commerce's contractors for EAP, WAP and CIP.
3. I authorize Minnesota EAP, WAP, and CIP to:
    - Contact my employer to verify my income.
    - If I rent, to contact my landlord to confirm my residency and/or heating source.
4. I authorize my local EAP, WAP and CIP Service Providers to contact me for outreach and referral.
5. By signing, I affirm that all data in this application is correct. I also acknowledge that:
    - I currently reside in the address listed on this application.
    - I am signing on behalf of all household members.
    - I may have to prove my statements.
    - I may be held civilly or criminally liable under federal or state law for knowingly making false or fraudulent statements.
    - I have rights under EAP, WAP, and CIP. I have received a copy of the "Privacy Notice and Your Rights and Responsibilities" and agree to its terms and conditions.
    - I may appeal local Energy Programs Service Provider decisions about my benefits.
    - I understand that filling out this application does not guarantee that my household will receive assistance.
    - I am an adult or emancipated minor.

Print Name: ______________________________

Signature: _____________________________Today's Date:________________

We must receive your application within 60 days of the date you sign it.

This application must be postmarked or received no later than May 31, 2017.

Funds may not last, apply early.

INSTRUCTIONS FOR COMPLETING 2016-2017 MINNESOTA ENERGY PROGRAMS APPLICATION

These instructions help you complete your **2016-2017 Minnesota Energy Programs Application**. The application is used to apply for the Energy Assistance Program (EAP), Weatherization Assistance Program (WAP) and the Conservation Improvement Program (CIP). The Minnesota Energy Programs Application is available in Spanish or in large print from your local EAP Service Provider or online at http://mn.gov/commerce/consumers/consumer-assistance/energy-assistance/

To apply for the Energy Programs, you must send to your local EAP Service Provider:

- The completed application with all questions answered and the last page signed and dated.
- A copy of proof of income received in the last 3 full calendar months for each household member.
- A copy of your last heating bill and your last electric bill.
- A copy of your last fuel receipt if you use delivered fuel for heating.

Failure to provide required documents may result in delay or denial of your application.

PART 1. Personal Information: Fill in your Social Security Number (SSN), name, current home address, phone number, and contact information. The primary household member must provide a verifiable SSN to process your application. Contact your local EAP Service Provider if no one in your household is able to provide an SSN. You may be able to provide an alternative legal document number.

Authorized Representative: This is someone you give permission, in writing, to act for you for these programs. If you want this person to receive all your EAP mail, write his/her address on the application.

PART 2. Household Information: Fill in all the information for everyone living in your home. ALL people living in the home are household members if they share the kitchen or other living areas in the home. Live-in care providers are not counted as household members if you have proof from a health care provider that daily medical care is required. The Social Security Number for other persons in the household is requested (optional). Non-custodial parents may include their minor children under age 18 as household members.

Sources of Income and Other Assistance:

- Mark (x) all sources of income for all members of your household.
- Report all income and all money received by each household member in the last 3 full calendar months.
- Send proof of all gross income received by all people in your household in the last 3 full calendar months before the month you sign your application. Send copies, originals will not be returned.

Proof of Income by type:

- **Wages:** Check stubs or a written statement signed by your employer stating gross wages.
- **MFIP, DWP, GA:** Statement from the county showing monthly amount or bank statements.
- **Spousal Support or Alimony:** Checks, bank deposits, or a note signed by the payer stating the amount and dates of received payments or other proof of amount received.
- **Disability Payments, Veteran's Benefits, Workers' Compensation, Social Security, RSDI and SSI:** Award letters, bank statements showing direct deposits or a copy of the check(s).
- **Unemployment Compensation:** Unemployment weekly benefit printout from www.uimn.org. Click on "Log in to My Account" and log in, go to "View and Maintain My Account," then "Payment Information," and enter date range for the last 5 full calendar months.
- **Self Employed, Farm, and Rental Income:** The first 2 pages of your most recent IRS-1040 tax return. If you did not file taxes or you have been self-employed less than 2 years, call your local EAP Service Provider and ask for a *Self-Employment Form*. Enter the date your business started in the space provided on page two of the application.
- **Interest, Dividend:** Bank statements or your IRS-1099 or IRS-1040.
- **Retirement Income:** Benefit checks/stubs, bank statements or award letter.
- **Pensions and Annuities:** Benefit checks/stubs, bank statements or award letter.
- **Tribal Bonus, Judgments or Per Capita Payments:** Benefit checks/stubs, bank statements or award letter.
- **No Income:** If your household has no income and no one is self-employed, call your local EAP Service Provider for a *Verification of Income & Expenses* form.

****Please send a copy of your proof of income. Originals will not be returned****

PART 3. Housing Information: Check the type of housing you live in, how long you have lived there and your monthly payment. If you are a **renter**, tell us if you receive a housing subsidy, whether you pay heat or electricity and your landlord's name, phone number and address.
You are a homeowner if you own, are buying your home, have a home mortgage or contract for deed.
Homeowners: If you have a furnace heating problem, we may be able to provide repair services.
Self-employed: If your residence is used for work or you rent out space in your home, complete this section.

PART 4. Heating Sources: Put "1" by the heating fuel you use the most and "2" by all other heating fuels.

- If your home is heated with more than one type of heating fuel, mark all boxes that apply.
- **If you use electric heat as a heating source**, it must provide most or all the heat to one or more rooms (excluding bathrooms) or provide heat to the entire home. Electric is not a heat source if only used to run the furnace fan or the thermostat.
- Enter the name of the heating and electric company providing energy to your home.
- Include the name on the account and the account number.
- Wood, corn, pellet or other biofuel users: Show how much of your heat it provides. Do you cut or grow your own wood, corn, pellets or other biofuel? Enter the number of bedrooms in your home.

PART 5. Permissions and Signature: Read the permissions carefully. **An adult household member, 18 years of age and older or emancipated minor, must sign the application**. **Any other person signing the application must have a Power of Attorney (POA) to act on behalf of the household and must submit a copy along with the application. Return the application to your local EAP Service Provider. Your application must be received within 60 days of the date signed. It must be postmarked or received no later than May 31, 2017.**

- ANY missing information may delay decisions regarding your eligibility and benefit amount.
- Your local EAP Service Provider may be able to help you pay your past due energy bills and/or arrange a monthly payment plan with your heating and/or electric company.
- Your application will be processed as quickly as possible. You will receive a letter when your application is completed.

Important Notice:
The Energy Assistance Program may provide eligible households with energy crisis assistance. Write down the name and phone number of your local EAP Service Provider and call them if:

- Your energy services are or will be shut-off,
- You are unable to get a delivery of fuel, or
- You own your home and your furnace is not working.

Weatherization Assistance Program (WAP) Income Eligibility Guidelines
You may be eligible for the Weatherization Assistance Program (WAP) even if your household's income is higher than the EAP limits. WAP provides free home energy upgrades to income-eligible homeowners and renters to help save energy and make your home a healthy and safe place to live. For income eligibility please refer the Minnesota Weatherization Assistance Program at https://mn.gov/commerce/consumers/consumer-assistance/weatherization or call **1-800-657-3710**

Cold Weather Rule Protection: If you use natural gas or electricity to heat your home or you need electricity to operate your thermostat or furnace fan, you may be eligible for Cold Weather Rule protection.

- The Cold Weather Rule helps reconnect and protect your service between October 15 and April 15.
- **To get Cold Weather Rule protection, you MUST contact your energy companies and make and keep a payment plan. If you miss a payment, you lose your protection and you could lose your heat.**
- If you receive Energy Assistance, you pre-qualify for Cold Weather Rule protection. The Energy Assistance Program does not replace what you need to pay.
- Local EAP Service Provider staff can help you make a reasonable payment plan with your energy companies.

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