

## HEAP WAIVER REQUEST FORM INSTRUCTIONS

Deviations from the policies/procedures outlined in the Rule, State Plan, or Handbook must be approved/denied by MaineHousing prior to certifying the Application. The CAA must complete a HEAP Waiver Request. The CAA should keep in mind the intent of the specific program policy and exercise due diligence.

The CAA should submit a Waiver request as soon as they can complete the form and provide the associated documentation to support the Waiver. CAA should not hold off submitting the Waiver if the HEAP file is missing documentation/information that is not relevant to the Waiver. Applications still need to be certified eligible or denied within thirty (30) business days. See Certifying the Application section.

It is the CAAs responsibility to take timely and necessary action so as to be able to comply with the thirty (30) business day requirement. The CAA is expected to compile the appropriate documentation/information to support the Waiver request

The situation and information must be verifiable and applicable documentation must be submitted to justify granting an exception/Waiver. Each request must include Primary Applicant information, the reason for or nature of the request, justification for requesting an exception, supporting documentation, and CAA signatures.

Completed Waiver requests and supporting documentation should be sent to [LIHEAP@mainehousing.org](mailto:LIHEAP@mainehousing.org) or faxed to 207-624-5780. If sending via e-mail, please include the word "waiver" in the subject line. Remember to send forms and documents with Personally Identifiable Information (PII) through a secure e-mail server. If the CAA does not have access to an application that encrypts e-mail, fax the documents to 207-624-5780.

When a Waiver request is submitted, anyone reviewing/auditing the request must be able to understand the deviation, supporting documentation and the decision. Regardless of the type of request that is made, the CAA must be able to validate the deviation with supporting documentation if necessary.

1. CAA is responsible for submitting a Waiver request along with supporting documentation (if applicable) to MaineHousing.
2. When a Waiver is approved or denied MaineHousing will notate the decision in the "Household" notes section of MERAC. MaineHousing will return a copy of the approved/ denied Waiver to the CAA.
3. CAA will ensure a copy of the Waiver is placed in the Application file.
4. The CAA will list any documentation needed on the Reminder form provided to the Primary Applicant at the time of Application.

**The following guidelines pertain to Dwelling Units that are not permanently connected to the required utilities (i.e. water and electricity), or if the required utilities have been disconnected or are non-functioning:**

1. The Waiver request must include documentation and a description of the situation to substantiate the legitimacy of the Dwelling. If there are indications of potential fraud/misrepresentation, the CAA is expected to exercise due diligence to ensure the legitimacy of the Dwelling.
2. The following list of documents is not intended to be all inclusive. It is a starting point to validate the legitimacy of a dwelling unit that is not permanently connected to utilities or the utilities are not in service.
  - a. Copy of tax bill
  - b. Copy of rental agreement (if applicable)
  - c. Pictures of home, generator or solar energy sources
  - d. Vendor transaction reports for previous two (2) years
3. If MaineHousing approves a Waiver for a dwelling unit that is not connected to or serviced by utilities, the Waiver will stay in effect as long as the Primary Applicant and/or any Applicant(s) from the original Application remain in the dwelling unit. A new Waiver would be required if all Household members move from the dwelling unit and another Household moves in.

### **Completing the Waiver Request Form**

1. Fill in the CAA (agency name)
2. Fill in the Primary Applicant Name
3. Fill in the Physical Address (for Primary Applicant)
4. Complete the reason for request by indicating what program guideline you are requesting deviation from.
5. Describe actions/research completed to justify an exception.
6. Identify supporting documentation submitted with the request.
7. CAA Representative - signature of the CAA staff person completing the form.
8. Date
9. CAA Energy Director - signature of the CAA Energy Director or HEAP manager who reviewed and approved the request for submission to MaineHousing.
10. Date