



## North Carolina Department of Health and Human Services

Pat McCrory  
Governor

Aldona Z. Wos, M.D.  
Ambassador (Ret.)  
Secretary DHHS

Adam Sholar  
Legislative Counsel  
Director of Government Affairs

August 28, 2014

### SENT VIA ELECTRONIC MAIL

The Honorable Marilyn Avila, Co-Chair  
Appropriations Subcommittee on Health  
and Human Services  
North Carolina General Assembly  
Room 2217, Legislative Building  
Raleigh, NC 27601

The Honorable Mark W. Hollo, Co-Chair  
Appropriations Subcommittee on Health  
and Human Services  
North Carolina General Assembly  
Room 639, Legislative Office Building  
Raleigh, NC 27603

The Honorable William D. Brisson, Co-Chair  
Appropriations Subcommittee on Health  
and Human Services  
North Carolina General Assembly  
Room 405, Legislative Office Building  
Raleigh, NC 27603

The Honorable Donny Lambeth, Co-Chair  
Appropriations Subcommittee on Health  
and Human Services  
North Carolina General Assembly  
Room 610, Legislative Office Building  
Raleigh, NC 27603

Dear Representatives Avila, Brisson, Hollo, and Lambeth:

Pursuant to Section 10.56(b) of Session Law 2011-145, the Department of Health and Human Services, Division of Social Services is submitting a copy of the Low Income Home Energy Assistance Block Grant (LIHEAP) application for Federal Fiscal Year 2014-2015. The information included is written copies of data that was submitted through the US Department of Health and Human Services electronic database and is being provided for your information.

The purpose of the Low Income Home Energy Assistance Block Grant is primarily to meet immediate energy needs by providing funds to help low income families cope with cost increases of heating fuel, to provide emergency assistance, and to weatherize homes. The four programs NC offers that are funded through the LIHEAP Block Grant programs are: (1) Low Income Energy Assistance Payments for Heating (LIEAP), funds are used to provide a one-time vendor payment to eligible households to help pay heating bills; (2) Crisis Intervention Program (CIP), funds are used to assist low-income person when a heating or cooling related crisis occurs. Allocations are provided to county departments of social services for vendor or voucher payments, the purchase on in-kind services, payment of home repairs, or bulk buying; (3) Weatherization Assistance Program (WAP), funds are available through the Department of Environment and Natural Resources to make repairs to dwellings so families can have more energy efficient homes; (4) Heating and Air Repair and Replacement Program (HARRP) funds are available

[www.ncdhhs.gov](http://www.ncdhhs.gov)

Tel 919-855-4800 • Fax 919-715-4645

Location: Adams Building/Dix Campus • 101 Blair Drive • Raleigh, NC 27603

Mailing Address: 2001 Mail Service Center • Raleigh, NC 27699-2001

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through the Department of Environment and Natural Resources. HARRP works in concert with the Weatherization Assistance Program to repair and/or replace inefficient heating and air systems in the homes of low-income families, especially the elderly, individuals with disabilities and families with children.

We appreciate the opportunity to share the LIHEAP Block Grant with you and look forward to responding to any questions you may have about this application. If you have any questions, please contact Wayne Black, Director of the Division of Social Services. He can be reached at (919) 527-6335 or via e-mail at [Wayne.Black@dhhs.nc.gov](mailto:Wayne.Black@dhhs.nc.gov).

Sincerely,



Adam Sholar

Cc:	Sherry Bradsher	Pat Porter
	Wayne Black	Brandon Greife
	Pam Kilpatrick	Susan Jacobs
	Kristi Huff	Theresa Matula
	Sarah Riser	Joyce Jones
	Deborah Landry	Rod Davis
	Senator Ralph Hise	Representative Justin Burr
	<a href="mailto:reports@ncleg.net">reports@ncleg.net</a>	



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August 28, 2014

### SENT VIA ELECTRONIC MAIL

The Honorable Ralph Hise, Co-Chair  
Appropriations Committee on Health  
and Human Services  
North Carolina General Assembly  
Room 1026, Legislative Building  
Raleigh, NC 27601

The Honorable Louis Pate, Co-Chair  
Appropriations Committee on Health  
and Human Services  
North Carolina General Assembly  
Room 1028, Legislative Building  
Raleigh, NC 27601

Dear Senators Hise and Pate:

Pursuant to Section 10.56(b) of Session Law 2011-145, the Department of Health and Human Services, Division of Social Services is submitting a copy of the Low Income Home Energy Assistance Block Grant (LIHEAP) application for Federal Fiscal Year 2014-2015. The information included is written copies of data that was submitted through the US Department of Health and Human Services electronic database and is being provided for your information.

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We appreciate the opportunity to share the LIHEAP Block Grant with you and look forward to responding to any questions you may have about this application. If you have any questions, please

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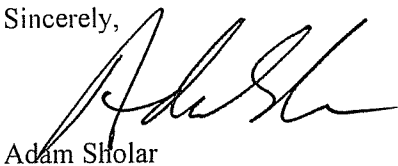
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contact Wayne Black, Director of the Division of Social Services. He can be reached at (919) 527-6335 or via e-mail at [Wayne.Black@dhhs.nc.gov](mailto:Wayne.Black@dhhs.nc.gov).

Sincerely,



Adam Sholar

Cc: Sherry Bradsher  
Wayne Black  
Pam Kilpatrick  
Kristi Huff  
Sarah Riser  
Deborah Landry  
Representative Justin Burr  
Representative Mark Hollo

Pat Porter  
Brandon Greife  
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[reports@ncleg.net](mailto:reports@ncleg.net)



## North Carolina Department of Health and Human Services

Pat McCrory  
Governor

Aldona Z. Wos, M.D.  
Ambassador (Ret.)  
Secretary DHHS

July 31, 2014

Ms. Lauren Christopher, Acting Director  
Division of Energy Assistance  
Office of Community Services, ACF, HHS  
370 L'Enfant Promenade, S. W.  
Washington, DC 20447

Dear Ms. Christopher:

Enclosed for your consideration is North Carolina's application for funding under the Low Income Home Energy Assistance Program. Included as enclosures are the following items:

1. A copy of a letter from Governor Pat McCrory, which designates the Department of Health and Human Services as the agency authorized for submission and endorsement of the application,
2. North Carolina's Executive Summary and Application for Funding and Plan for the Low Income Home Energy Assistance Block Grant,
3. Certification regarding Lobbying,
4. Certification regarding Debarment and Suspension,
5. Certification regarding Drug-Free Workplace requirements.
6. Program Integrity Assessment Supplement.

Your consideration of North Carolina's request for funding is greatly appreciated.

Sincerely

A handwritten signature in dark ink, appearing to read "Aldona Z. Wos".

Aldona Z. Wos, M.D.  
Secretary

[www.ncdhhs.gov](http://www.ncdhhs.gov)

Telephone 919-855-4800 • Fax 919-715-4645

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STATE OF NORTH CAROLINA  
OFFICE OF THE GOVERNOR

PAT MCCRORY  
GOVERNOR

July 15, 2014

Ms. Lauren Christopher, Acting Director  
Division of Energy Assistance  
Office of Community Services, ACF, HHS  
370 L'Enfant Promenade, SW  
Washington, NC 20447

Dear Ms. Lauren Christopher:

I am writing to designate the North Carolina Department of Health and Human Services as the agency which is responsible for the administration of the Low Income Home Energy Assistance Program (LIHEAP) Block Grant. The Secretary of the department is authorized to act on my behalf in matters concerning this program.

The Secretary will be responsible for the endorsement and submission of:

- North Carolina Executive Summary and Application for Funding and Plan for the LIHEAP Block Grant;
- Any funding agreement between the State of North Carolina and the Federal Department of Health and Human Services under this program;
  - Leveraging reports; and
  - All appropriate assurances and certifications.

Sincerely,

A handwritten signature in black ink that reads "Pat McCrory".  
Governor Pat McCrory

cc: The Honorable Aldona Z. Vos, M.D.  
Secretary, Department of Health and Human Services

DEPARTMENT OF HEALTH AND HUMAN SERVICES  
DIVISION OF SOCIAL SERVICES

CERTIFICATION REGARDING LOBBYING

Certification for Contracts, Grants, Loans, and Cooperative Agreements

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

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

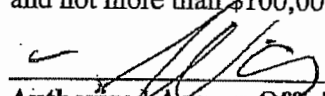
(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this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

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

Statement for Loan Guarantees and Loan Insurance

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

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

  
Authorized Agency Official Signature

Secretary

Title

N.C. Department of Health and Human Services  
Agency / Organization

\*\*\*\*\*

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--  
Lower Tier Covered Transactions (1) The prospective lower tier participant certifies, by  
submission of this proposal, that neither it nor its principals is presently debarred,  
suspended, proposed for debarment, declared ineligible, or voluntarily excluded from  
participation in this transaction by any Federal department or agency. (2) Where the  
prospective lower tier participant is unable to certify to any of the statements in this  
certification, such prospective participant shall attach an explanation to this proposal.



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Authorized Agency Official Signature

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Secretary

Title

N.C. Department of Health and Human Services  
Agency / Organization



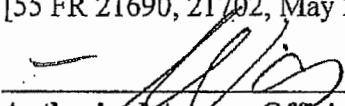
- (1) Abide by the terms of the statement; and
- (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
- (e) Notifying the agency in writing, within ten calendar days after receiving notice under paragraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;
- (f) Taking one of the following actions, within 30 calendar days of receiving notice under paragraph (d)(2), with respect to any employee who is so convicted -
- (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
- (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
- (g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f).
- (B) The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code) Check if there are workplaces on file that are not identified here.

Alternate II. (Grantees Who Are Individuals)

- (a) The grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant;
- (b) If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, he or she will report the conviction, in writing, within 10 calendar days of the conviction, to every grant officer or other designee, unless the Federal agency designates a central point for the receipt of such notices. When notice is made to such a central point, it shall include the identification number(s) of each affected grant.

[55 FR 21690, 21702, May 25, 1990]

  
\_\_\_\_\_  
Authorized Agency Official Signature

\_\_\_\_\_  
Secretary  
Title

N.C. Department of Health and Human Services  
Agency / Organization



**North Carolina Department of Health and Human Services  
Grant Proposal Worksheet**

*Completed worksheets should be received as soon as possible from the date of the grant announcement but must be received by Budget and Analysis no later than 15 business days prior to the grant submission deadline. Worksheets should be sent to Marjorie Donaldson and Beth Coberly*

New Grant Proposal ☐

*Only for use with brand new grants that have never been funded by the department*

Grant Renewal ☒

*Includes Block Grants, continuations within a multi-year segment, and applications for new segments for existing programs*

Other ☐

Description:

Grant Announcement Date by Federal Government/Grantor:	
Worksheet Submission Date to DHHS Budget and Analysis:	6/26/2014
Grant Submission Deadline to Federal Government/Grantor:	9/1/2014

**Funding Opportunity/Grant Title:** Low Income Home Energy Assistance Program (LIHEAP)

**Federal Government Agency or Other Grantor Name:** US DHHS, Administration for Children and Families

**CFDA# for funding announcement** 93.568

**Grant Period: Start Date:** 10/2014

**End Date:** 09/2015

**DHHS Division:** Division of Social Services

**Person Responsible for this form:** David Locklear

**Phone Number:** 919-527-6311

**Principal Investigator (if different from above):**

**Phone Number:**

*David Locklear*

*David Locklear*

*7/6/14*

Signature, PI (Person Responsible if PI is blank)

Printed Name

Date

**Grant Amount:**

Total Grant Request to Grantor (not including match)	Annual Allocation from Grantor (if multi-year, not including match)	Total Annual State Match (if applicable)
\$113,139,044	\$113,139,044	\$0

Are the figures projections?

☒ Yes ☐ No

**What was the first year or earliest known year that the Department received funding under this grant?**  
1981

**Is this a multi-year grant?**

Yes ☐ No ☒

If yes, for how many years?

Does it require annual submissions or reporting?

Yes ☒ No ☐

What grant year is this worksheet for?

Entering year 2014 of 2015 years

**Is this a competitive grant?**

Yes ☐ No ☒

If yes, what is the likelihood of the Department being awarded the grant?

Explanation:

☐ Very Likely

☐ Somewhat Likely

☐ Likely

☐ Unsure

## Purpose and Requirements of Grantor/Funding Opportunity

### 1) What are the purpose and the allowable uses for these funds according to the federal government/grantors?

*Please cite the source and quote directly from grantor language. Do not include any information on how DHHS plans to use the grant funds.*

LIHEAP Statute 2605(b)(1) states:

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

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

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

2) make payments under this title only with respect to—

(A) households in which 1 or more individuals are receiving--

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

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

(iii) food stamps under the Food Stamp Act of 1977; or

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

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

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

(ii) an amount equal to 60 percent of the State median income; except that a State may not exclude a household from eligibility in a fiscal year solely on the basis of household income if such income is less than 110 percent of the poverty level for such State, but the State may give priority to those households with the highest home energy costs or needs in relation to household income;

(B) intervene in energy crisis situations;

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

(D) plan, develop, and administer the State's program under this title including leveraging programs, and the State agrees not to use such funds for any purposes other than those specified in this title;

**NOTE:** The Weatherization Program and the Heating and Air Repair or Replacement Program are administered by the NC Department of Environment and Natural Resources. They are allotted a portion of the LIHEAP Block Grant.

Grant Title: \_\_\_\_\_

**2) What outcome(s) and objectives is the grant to achieve?**

*Please quote directly from grantor language. Do not include any information on DHHS anticipated outcomes.*

LIHEAP Statute 2605(b)(3) states:

- Conduct community outreach and activities  
3) conduct outreach activities designed to assure that eligible households, especially households with elderly individuals or disabled individuals, or both, and households with high home energy burdens, are made aware of the assistance available under this title, and any similar energy-related assistance available under subtitle B of title VI (relating to community services block grant program) or under any other provision of law which carries out programs which were administered under the Economic Opportunity Act of 1964 before the date of the enactment of this Act;  
  
(4) coordinate its activities under this title with similar and related programs administered by the Federal Government and such State, particularly low-income energy-related programs under subtitle B of title VI (relating to community services block grant program), under the supplemental security income program, under part A of title IV of the Social Security Act, under title XX of the Social Security Act, under the low-income weatherization assistance program under title IV of the Energy Conservation and Production Act, or under any other provision of law which carries out programs which were administered under the Economic Opportunity Act of 1964 before the date of the enactment of this Act;
- Target households with the lowest incomes  
  
(5) provide, in a timely manner, that the highest level of assistance will be furnished to those households which have the lowest incomes and the highest energy costs or needs in relation to income, taking into account family size, except that the State may not differentiate in implementing this section between the households described in clauses (2)(A) and (2)(B) of this subsection. (2)(A) and (2)(B) are listed in the response to question 1 above.
- Provide Crisis assistance

LIHEAP Statute 2604(c) states the following regarding Crisis assistance:

Undertake a timely and effective energy crisis intervention program, and the ability to carry out the program in local communities. The program for which funds are reserved under this subsection shall--

- (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.
- Provide low-cost Weatherization and energy-related home repair

LIHEAP Statute 2605(k)(1)(B) states:

(B) the funds available to such State under this title for such fiscal year; may be used by the State for low-cost residential weatherization or other energy-related home repair for low-income households, particularly those low-income households with the lowest incomes that pay a high proportion of household income for home energy.

Grant Title: \_\_\_\_\_

In carrying out these requirements, NC is able to assist eligible low income households in meeting immediate energy needs and coping with cost increases of heating costs by providing funds for heating assistance, emergency assistance, and weatherization. The key indicators of this grant are providing outreach, targeting low income households with the highest home energy needs and the lowest income, and crisis assistance.

**3) What are the Federal/grantor reporting and monitoring requirements regarding progress and outcomes?**

*Please quote directly from grant language. Include specific measures and key indicators that must be reported to the grantor.*

Below are the Federal reporting and monitoring requirements for the LIHEAP Block Grant.

***Monitoring, Fiscal Control, Accounting, Single Audit Act***

LIHEAP Statute 2605(b)(10) states:

(10) provide that such fiscal control and fund accounting procedures will be established as may be necessary to assure the proper disbursement 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");

Audits are conducted by NC DHHS Staff and NC State Auditors annually.

***Reports***

**Report to Congress**

LIHEAP Statute Section 2610 (b)

(b) The Secretary shall, no later than June 30 of each fiscal year, submit a report to the Congress containing a detailed compilation of the data under subsection (a) with respect to the prior fiscal year, and a report that describes for the prior fiscal year--

- (1) the manner in which States carry out the requirements of clauses (2), (5), (8), and (15) of section 2605(b); and
- (2) the impact of each State's program on recipient and eligible households.

**Financial – Grantee Survey Form for (2) (i) and (ii) Submitted annually by the Division of Social Services, Economic and Family Services; OMB Standard Form 269A submitted annually by the Controller's Office**

Block grant regulations at 45 CFR 96.30(b)(2) and (4)

(2) Block grants containing time limits only on obligation of funds. After the close of each statutory period for the obligation of block grant funds, each grantee shall report to the Department:

- (i) Total funds obligated by the grantee during the applicable statutory period; and
- (ii) The date of the last obligation.

(4) Submission of information. Grantees shall submit the information required by paragraph (b)(1), (2), and (3) of this section on OMB Standard Form 269A, Financial Status Report (short form). Grantees are to provide the requested information within 90 days of the close of the applicable statutory grant periods.

**Household – Submitted annually by the Division of Social Services, Economic and Family Services**

LIHEAP Statute Section 2610 (a)

(a) The Secretary, after consultation with the Secretary of Energy, shall provide for the collection of data, including--

- (1) information concerning home energy consumption;
- (2) the amount, cost and type of fuels used for households eligible for assistance under this title;

Grant Title: \_\_\_\_\_

- (3) the type of fuel used by various income groups;
- (4) the number and income levels of households assisted by this title;
- (5) the number of households which received such assistance and include one or more individuals who are 60 years or older or disabled or include young children; and
- (6) any other information which the Secretary determines to be reasonably necessary to carry out the provisions of this title. Nothing in this subsection may be construed to require the Secretary to collect data which has been collected and made available to the Secretary by any other agency of the Federal Government.

Grant Title: \_\_\_\_\_

## Funding

### 4) What are the required matching percentage and dollar amounts?

Please provide detail regarding who (state, local government, contractors, other) provides this match by amount. If match is provided from multiple services, please itemize these amounts by service.

	Annual Amount	Source	DHHS Service Alignment (as defined in Open Window)	The LIHEAP Block Grant is 100% federally funded with no state matching requirements.
Match %				
State				
Local				
Contractor				
Other				
Total				

### 5) What is the required maintenance of effort (MOE) amount?

Please provide detail regarding who (state, local government, contractors, other) provides the MOE by amount.

	Annual Amount	Source	Please provide MOE amount from the previous State Fiscal Year:  <b>There is no MOE for LIHEAP.</b>
MOE Requirement (\$) for the coming year:			
State			
Local			
Contractor			
Other			
Total			

Division Budget Officer

I certify that Matching & MOE funds are available

Signature

Printed Name

Date

Division Budget Officer Comments:

## Use of Funds

### 6) How does the Division propose to use these funds in the coming year?

*Please complete the appropriate section and delete the unused section.*

#### **For Grant Renewals (including long standing grants that are beginning a new funding period and recurring block grants/formula fund programs):**

- a) What are the long term goals of the grant? What measureable results are expected by the end of the entire grant period? *Include objectives and outcomes set by the grantor as well as those set by the Division.*

The overall outcome of LIHEAP is that North Carolina's most vulnerable low-income populations are able to receive heating and cooling assistance to help offset the rising cost of energy.

- b) What goals and results have been achieved so far?

From FY 2014 LIHEAP Block Grant funding, NC awarded \$6,757,731 in administration dollars to local county social services agencies to administer the LIHEAP heating assistance and CIP assistance. With administration dollars, counties are able to conduct outreach within their communities, hire additional staff during the heating season, and cover any other needed allowable program costs. In a major effort to inform and serve low income Native Americans, NC awarded \$164,882 to the NC Commission of Indian Affairs to assist with conducting outreach in Native American communities throughout the state.

The Low Income Home Energy Assistance Program is monitored annually by State Auditors and Division of Social Services Program Representatives. State audits include reviewing the reports that are submitted to the Administration for Children and Families (ACF). The results of their findings ensure that we are reporting correct and accurate information to the Federal office ACF). Division audits include reviewing local county offices with regards to program policy and compliance. The results of their findings demonstrate the need for statewide county training and ensure that local county agencies are in compliance with program policy which helps to ensure low-income households are able to apply for and receive LIHEAP benefits they may be eligible for. Counties that are not in compliance of the program are placed on corrective action and must submit a corrective action plan to the state office.

ACF monitors the program every five years. They monitor all aspects of LIHEAP including policy, reporting, and financial responsibility. They provide written results which help us ensure NC is administering LIHEAP correctly and effectively to low-income households.

In FY 2013, NC assisted 207,642 households with LIHEAP Block Grant funding in which:

- 132,006 were under 75% of the federal poverty level
- 62,137 were age 60 and over
- 65,453 were disabled
- 47,639 were age 5 and under

All of the above households received one of the following services:

- Heating assistance- Low Income Energy Assistance Program (LIEAP)



Grant Title: \_\_\_\_\_

- Crisis Intervention Program (CIP)
- Weatherization Assistance Program (WAP)
- Heating and Air Repair and Replacement Program (HARRP)

All households are provided outreach by their local county social services agency. The outreach helps to target households with the lowest income, elderly, disabled, and small children.

- c) Based on what is allowed in the grant and what has been achieved to date, what activities will occur during the coming budget period of the grant? *Focus on and describe key strategic activities and how those activities will impact the intended beneficiaries and contribute to the long term goals for the grant.*

At the beginning of each state fiscal year (July), LIHEAP funding is awarded to all counties for administering the year-round Crisis Intervention Program (CIP). In July of every year, all 100 counties are required to submit an Energy Programs Outreach Plan in which they outline the outreach activities they will conduct in their communities. The Low Income Energy Assistance Program (LIEAP) for heating assistance is administered annually from December 1<sup>st</sup> through March 31<sup>st</sup>. From December 1<sup>st</sup> through December 31<sup>st</sup> LIEAP targets households containing a member age 60 and above or, with at least one member who is disabled and receiving a service through the Division of Aging and Adult Services. These households are considered to be the most vulnerable. Monitoring by State program representatives is conducted throughout each year for selected counties. Monitoring results are kept on file and counties that are out of compliance with program policy are placed on corrective action.

Conducting community outreach for LIHEAP helps to inform NC citizens about Energy assistance programs they may be eligible for and targets vulnerable households and households with the lowest incomes that pay a high proportion of household income for home heating energy. In return, NC is able to assist eligible low income households in meeting immediate energy needs and coping with cost increases of heating fuel by providing funds for heating assistance. These activities are measured by county outreach reporting; local state monitoring; and tracking the number of households that receive assistance which also includes vulnerable households, income levels, and denied applicants. A portion of the LIHEAP Grant is appropriated to the NC Department of Administration, Commission of Indian Affairs through a contractual agreement. The main duty of the Commission is to specifically provide outreach regarding LIHEAP to Native American families across the state through media, newspapers, training at local tribal agencies, etc.

LIHEAP funds are used to administer the Low Income Energy Assistance Program, Crisis Intervention Program, Weatherization Assistance Program (WAP), and Heating and Air Repair and Replacement Program (HARRP). WAP and HARRP are administered by the NC Department of Environment and Natural Resources. Eligibility for these programs is based on income and resources. Any North Carolina resident may apply for these programs. All applicants must visit their local county social services or community action agency to apply. Telephone interviews can be done in LIEAP and CIP for those unable to visit the county agency. All households are provided outreach by their local county social services agency. The outreach helps to target households with the lowest income, elderly, disabled, and small children. The overall expected outcome and main focus of LIHEAP funding is to assist North Carolina's most vulnerable (low-income, disabled, elderly, small children) populations in receiving heating and cooling assistance to help offset the rising cost of energy.

**Low Income Energy Assistance Program (LIEAP):**

- LIEAP is a one-time vendor payment to help eligible households pay heating bills. The amount of the benefit is dependent on household size and income.
- Applications are taken December 1<sup>st</sup> through March 31<sup>st</sup> of every year; however, priority in eligibility is given to households containing an elderly person age 60 and above or a disabled persons receiving services through the Division of Aging and Adult Services (DAAS) from December 1<sup>st</sup> through December 31<sup>st</sup> or until funds are exhausted. Disabled persons are defined as receiving SSI, SSA, or VA disability.
- Net income must be at or below 130% of the Federal Poverty Level and resources must be at or below \$2,200.

Grant Title: \_\_\_\_\_

Crisis Intervention Program (CIP), this is considered emergency assistance:

- CIP is a year-round program and is an important service for all, but especially for families with elderly, disabled or your children under 6 years old who are especially at risk for life threatening illness of death if their home is too cold in the winter or too hot in the summer.
- Applicants apply for CIP funds to alleviate a heating or cooling related crisis. Benefits cannot exceed \$600 per application, per State fiscal year. The maximum allowed benefit amount can be up to \$600 per application, per crisis situation. A household's net income must be below 150% of the Federal Poverty Level.

Weatherization Assistance Program (WAP):

- The Weatherization Assistance Program (WAP) provides funds to local community action agencies for the purchase and installation of materials such as ceiling, wall and floor insulation, caulking, and weather-stripping on the homes of low-income families, particularly the elderly and handicapped, in order to make the homes more energy efficient, reduce monthly utility bills, and provide a more healthful living environment.
- Households must be below 200% of the Federal Poverty Level. Priority in eligibility for WAP is given to households that contain an elderly or disabled person. Applicants must visit their local Community Action Agency to apply.

Heating and Heating and Air Repair and Replacement Program (HARRP):

- HARRP is used to repair or replace heating and cooling units,
- Households must be at or below 150% of the Federal Poverty Level.

Outreach: Dept. of Administration - NC Commission of Indian Affairs, this is not a service provided to households but LIHEAP funding provided to specific outreach:

- Funding from the LIHEAP Block Grant is given to the NC Commission of Indian Affairs to assist with conducting outreach in Native American communities throughout the state.

- d) What are your performance targets for the upcoming budget period for the activities above? How will the achievement of these targets contribute to obtaining the long term goals and measurable results for the grant?

Local county departments of social services will provide outreach by informing community agencies and groups about program timeframes and guidelines to encourage those potentially eligible to apply.

Community outreach will be conducted to inform 3,525 American Indian low-income households about the energy assistance program. Educational information (brochures/fliers, etc.) will be provided related to energy assistance eligibility requirements and application sites.

A one-time payment will be provided to assist an estimated 152,404 eligible low-income households with their heating bills.

Low-cost residential weatherization and other cost-effective energy-related home repair will be provided to an estimated 3,793 low-income eligible households to improve energy efficiency, household safety, and to educate clients about maintaining energy efficiency. The focus is on the elderly, the disabled, families with children, high energy users and the energy burdened.

Energy crisis assistance will be provided to an estimated 162,211 low-income eligible households to alleviate a heating or cooling related crisis.

Grant Title: \_\_\_\_\_

NC will be able to assist eligible low income households in meeting immediate energy needs and coping with cost increases of heating by providing funds for heating assistance, emergency assistance, and weatherization.

- e) Are the activities above a shift in grant focus from the previous year?  
*If yes, please explain.*

No

- f) How will you evaluate the results of the activities compared to the performance targets and long term goals of the grant?

The Low Income Home Energy Assistance Program is monitored annually by State Auditors and Division of Social Services Program Representatives. State audits include reviewing the reports that are submitted to the Administration for Children and Families (ACF). The results of their findings ensure that we are reporting correct and accurate information to the Federal office ACF). Division audits include reviewing local county offices with regards to program policy and compliance. The results of their findings demonstrate the need for statewide county training and ensure that local county agencies are in compliance with program policy which helps to ensure low-income households are able to apply for and receive LIHEAP benefits they may be eligible for. Counties that are not in compliance of the program are placed on corrective action and must submit a corrective action plan to the state office. Our Energy and Data Warehouse system and Energy Programs Systems allow us to be able to view how many low income families benefit from this program.

Grant Title: \_\_\_\_\_

**7) What State FTEs are currently funded through the grant?**

*Include only **State Employee positions** whose salaries are currently paid with grant funds. State how these positions will be used specific to the service activities of the grant. Other tables may be cut and pasted in lieu of the table below as long as the same information is covered.*

Position Title	FTE paid with grant funds	Major Duties as related to grant activities
n/a		
<b>Total Existing FTEs</b>		

**8) What additional State FTEs will be funded through the grant?**

*Include only **State Employee positions** whose salaries were not previously paid with grant funds but will be paid with grant funds in the coming year. State how these positions will be used specific to the service activities of the grant. Other tables may be cut and pasted in lieu of the table below as long as the same information is covered.*

Position Title	FTE paid with grant funds	Major Duties as related to grant activities
n/a		
<b>Total New FTEs</b>		

**9) Will any part of the grant funds be administered by entities outside of DHHS?**

- ☐ No, all funds will be administered by department entities  
☒ Yes, funds will be administered through Contracts  
☒ Yes, funds will be administered through Local Government Entities  
☐ Yes, funds will be administered by other means. Describe

**Please give information on the major activities the outside entities will be asked to perform:**

**Weatherization & Outreach**

The Contactor, Department of Environment and Natural Resources (DENR), is the lead administrator the contract and shall:

Grant Title: \_\_\_\_\_

Subcontract with local weatherization service subcontractors to weatherize 1,994 units and inspect, repair, replace heating or air conditioning systems in 1,799 units, in accordance with state requirements and occupied by individuals and families who meet the prescribed eligibility requirements in all 100 counties. The weatherization program is administered through 23 local weatherization service subcontractors comprised of 18 community action agencies, two regional councils of government, two units of local government and one non-profit entity. Per federal regulation, local weatherization service subcontractors are required to be community action agencies, other non-profit agencies or local governments who have demonstrated the ability to provide weatherization services. Weatherization services are performed by trained local weatherization service subcontractor staff and/or their licensed sub-contractor.

To accomplish the above objective, the local weatherization service subcontractor will perform the following activities:

1. Promote and market the programs to recruit priority populations.
2. Conduct intake/receive applications for services from potentially eligible individuals.
3. Establish prioritized waiting list using state rating tool.
4. Perform initial inspection/audit and share energy education information.
5. Identify measures (air sealing, insulation, health and safety, etc.) to be installed.
6. Complete health and safety improvements.
7. Install identified energy reduction measures.
8. Evaluate effectiveness of service provided.
9. Conduct final inspection.
10. Receive client evaluation survey.
11. Maintain files, complete and submit program and financial.
12. Ensure local weatherization provider staff receive ongoing state, regional and national training
13. Evaluate program effectiveness.

## Goal Alignment and Linkage

### 10) What are the DHHS services and activities that you are using this grant money to support?

List the service and each activity within each service that these grant funds support. This may require the listing of multiple services and/or multiple activities.

Current/Proposed Use of Funds				Activity/Grant Level	Service Level	DHHS Goal Level
DHHS Service (as captured in Open Window)	Key Activity (For each of the key activities you listed in number 6, give a brief description)	Amount of Grant funding	State FTE(s) <i>If a renewal: Separate Existing and New FTE(s)</i>	How does the grant activity support the grant results and outcomes? <i>Cite specific results/outcomes and measures stated in #2 and #6.</i>	How does the grant activity and grant outcomes support the DHHS service and its intended results and outcomes? <i>Cite specific measures.</i>	How does the grant activity and grant outcomes impact the DHHS goal and related performance measures? <i>Cite specific measures.</i>
Low Income Energy Assistance Program (LIEAP)	LIEAP is a one-time vendor payment to help eligible households pay heating bills. The amount of the benefit is dependent on household size and income.	\$50,032,593 for SFY 2015	N/A	By providing a one time vendor payment, the program is able to offer immediate relief to help eligible households pay heating bills.	NC is able to assist eligible low income households in meeting immediate energy needs and coping with cost increases of heating fuel by providing funds for heating assistance	<p>This service is in alignment with DHHS Goal 3, Objective 5a - Assure that families at risk of economic challenges receive health and safety benefits to mitigate those risks.</p> <p>The overall goal of LIHEAP is for North Carolina's most vulnerable low-income populations to be able to receive heating and cooling assistance that will help offset the rising cost of energy. The activities that are carried out assure those eligible households,</p>

Grant Title: \_\_\_\_\_

Current/Proposed Use of Funds				Activity/Grant Level	Service Level	DHHS Goal Level
<b>DHHS Service</b> <i>(as captured in Open Window)</i>	<b>Key Activity</b> <i>(For each of the key activities you listed in number 6, give a brief description)</i>	<b>Amount of Grant funding</b>	<b>State FTE(s)</b> <i>If a renewal: Separate Existing and New FTE(s)</i>	<b>How does the grant activity support the grant results and outcomes?</b> <i>Cite specific results/outcomes and measures stated in #2 and #6.</i>	<b>How does the grant activity and grant outcomes support the DHHS service and its intended results and outcomes?</b> <i>Cite specific measures.</i>	<b>How does the grant activity and grant outcomes impact the DHHS goal and related performance measures?</b> <i>Cite specific measures.</i>
						especially households with elderly individuals or disabled individuals, or both, and households with high home energy burdens, are made aware of the assistance available, and are able to apply for and/or receive benefits they may be eligible for through local county agencies.
Crisis Intervention Program (CIP)	CIP is a year-round program and is an important service for all, but especially for families with elderly, disabled or young children under 6 years old who are especially at risk for life threatening illness of death if their home is too cold in the winter or too hot in the summer. Applicants apply for CIP funds to alleviate a	\$33,304,484 for SFY 2015	N/A	Heating and Cooling Assistance is provided to those eligible households to alleviate the risk of life threatening illness or death.	NC is able to assist eligible low income households in meeting immediate energy needs and coping with cost increases of heating fuel by providing funds for heating assistance. These activities are measured by County outreach reporting; local state	This service is in alignment with DHHS Goal 4, Objective 5c - Assure that families who are experiencing economic jeopardy receive emergency assistance services to mitigate health and safety risks.  The overall goal of LIHEAP is for North Carolina's most

Grant Title: \_\_\_\_\_

Current/Proposed Use of Funds				Activity/Grant Level	Service Level	DHHS Goal Level
DHHS Service (as captured in Open Window)	Key Activity (For each of the key activities you listed in number 6, give a brief description)	Amount of Grant funding	State FTE(s) <i>If a renewal: Separate Existing and New FTE(s)</i>	How does the grant activity support the grant results and outcomes? <i>Cite specific results/outcomes and measures stated in #2 and #6.</i>	How does the grant activity and grant outcomes support the DHHS service and its intended results and outcomes? <i>Cite specific measures.</i>	How does the grant activity and grant outcomes impact the DHHS goal and related performance measures? <i>Cite specific measures.</i>
	heating or cooling related crisis.				monitoring; and tracking the number of households that receive assistance with their heating expenses.	vulnerable low-income populations to able to receive heating and cooling assistance that will help offset the rising cost of energy. The activities that are carried out assure those eligible households, especially households with elderly individuals or disabled individuals, or both, and households with high home energy burdens, are made aware of the assistance available, and are able to apply for and/or receive benefits they may be eligible for through local county agencies.
Outreach: Dept. of Administration - NC Commission of Indian	Funding from the LIHEAP Block Grant is given to the NC Commission of	\$87,736 for for SFY 2015	2.58 DOA Staff	Conducting community outreach for NC's Energy	<i>This is not a service in Open Window because this agency</i>	



Grant Title: \_\_\_\_\_

Current/Proposed Use of Funds				Activity/Grant Level	Service Level	DHHS Goal Level
DHHS Service (as captured in Open Window)	Key Activity (For each of the key activities you listed in number 6, give a brief description)	Amount of Grant funding	State FTE(s) <i>If a renewal: Separate Existing and New FTE(s)</i>	How does the grant activity support the grant results and outcomes? <i>Cite specific results/outcomes and measures stated in #2 and #6.</i>	How does the grant activity and grant outcomes support the DHHS service and its intended results and outcomes? <i>Cite specific measures.</i>	How does the grant activity and grant outcomes impact the DHHS goal and related performance measures? <i>Cite specific measures.</i>
Affairs	Indian Affairs to assist with conducting outreach in Native American communities throughout the state.			Programs helps to inform NC Native Americans about heating and energy crisis assistance they may be eligible for and targets vulnerable households and households with the lowest incomes that pay a high proportion of household income for home heating energy. In return, NC is able to assist eligible low income households in meeting immediate energy crisis and heating needs. These activities are measured by a contractual agreement between the Division of Social Services and the Commission of Indian Affairs	<i>is not under DHHS. A certain dollar amount of the LIHEAP Grant is allocated to this agency for specific outreach. There is also a written contractual agreement between DHHS and this agency.</i>	
Weatherization (WAP) and Heating and Air	The Weatherization Assistance Program	\$14,699,862 for SFY 2015	75.43 (estimated)	The Weatherization Assistance Program	<i>This is not a service in Open Window</i>	

Current/Proposed Use of Funds				Activity/Grant Level	Service Level	DHHS Goal Level
DHHS Service <i>(as captured in Open Window)</i>	Key Activity <i>(For each of the key activities you listed in number 6, give a brief description)</i>	Amount of Grant funding	State FTE(s) <i>If a renewal: Separate Existing and New FTE(s)</i>	How does the grant activity support the grant results and outcomes? <i>Cite specific results/outcomes and measures stated in #2 and #6.</i>	How does the grant activity and grant outcomes support the DHHS service and its intended results and outcomes? <i>Cite specific measures.</i>	How does the grant activity and grant outcomes impact the DHHS goal and related performance measures? <i>Cite specific measures.</i>
Repair and Replacement Program (HARRP)	(WAP) and Heating and Air Repair and Replacement Program (HARRP) provides funds to local community action agencies to repair or replace heating and cooling units, and for the purchase and installation of materials such as ceiling, wall and floor insulation, caulking, and weather-stripping on the homes of low-income families, particularly the elderly and handicapped, in order to make the homes more energy efficient, reduce monthly utility bills, and provide a more healthful living environment. This program is open to owners and renters living in both site built homes and manufactured housing.		DENR staff	(WAP) and Heating and Air Repair and Replacement Program (HARRP) provides funds to local community action agencies to repair or replace heating and cooling units, and for the purchase and installation of materials needed to weatherize homes. These programs target low-income families, particularly the elderly and handicapped, in order to make the homes more energy efficient, reduce monthly utility bills, and provide a more healthful living environment. Outreach is conducted by the NC Dept. of Environment and Natural Resources.	<i>because this agency is not under DHHS. A certain dollar amount of the LIHEAP Grant is allocated to this agency for Weatherization and Heating/Air repair. There is also a written contractual agreement between DHHS and this agency.</i>	

Grant Title: \_\_\_\_\_

Current/Proposed Use of Funds				Activity/Grant Level	Service Level	DHHS Goal Level
DHHS Service <i>(as captured in Open Window)</i>	Key Activity <i>(For each of the key activities you listed in number 6, give a brief description)</i>	Amount of Grant funding	State FTE(s) <i>If a renewal: Separate Existing and New FTE(s)</i>	How does the grant activity support the grant results and outcomes? <i>Cite specific results/outcomes and measures stated in #2 and #6.</i>	How does the grant activity and grant outcomes support the DHHS service and its intended results and outcomes? <i>Cite specific measures.</i>	How does the grant activity and grant outcomes impact the DHHS goal and related performance measures? <i>Cite specific measures.</i>
County Social Services and State administration	With administration dollars, counties are able to conduct outreach within their communities, hire additional staff during the heating season, and cover any other needed allowable program costs. State Divisions are able to accurately maintain and track the use of funds, audits, and reporting & monitoring requirements as mandated by the federal government.	\$7,939,815 for SFY 2015	N/A	With administration dollars, counties are able to conduct outreach within their communities, hire additional staff during the heating season, and cover any other needed allowable program costs. State Divisions are able to have the tools necessary to accurately maintain and track the use of funds, audits, and reporting & monitoring requirements as mandated by the federal government.	Counties are able to conduct outreach within their communities which notifies low income citizens of NC about the Energy Programs. In turn, these households are able to apply for assistance. Administrative dollars helps counties hire additional/temporary staff during the heating season, which is the busiest season for Energy assistance. State Divisions are able to perform audits and make sure finding is used properly as mandated by the federal government.	This service is in alignment with DHHS Goal 3, Objective 5a - Assure that families at risk of economic challenges receive health and safety benefits to mitigate those risks.  Allotting counties and state divisions administrative dollars assists them in efficiently and effectively administering LIHEAP assistance, which is mandated by the federal government.
	<b>Total</b> <i>(Annual Allocation from Grantor)</i>	\$113,139,044				

Grant Title: \_\_\_\_\_

**11) Beyond the DHHS service(s) with which the grant funding is aligned, what other DHHS programs and services does/will this grant affect?**

*If activity and service are in another division or office, please state.*

DHHS/Social Services has a contractual agreement with each Division/Office LIHEAP funding is allocated to.

**12) Is there a relationship between this grant and any other grant that DHHS has or will be applying for?**

Yes ☐

No ☒

If Yes, please list the grant(s) and describe the relationship:

**Division Approval**

Division Director

*I attest that I have read, understand and support the grant request as mission focused.*

  
Signature

Wayne E. Black  
Printed Name

7/28/14  
Date

Grant Title: \_\_\_\_\_

**For B&A Use Only: Budget and Analysis Review**

Worksheet Submission to DHHS Budget and Analysis for review:	
Initial Review by Budget and Analysis	
Comments sent to Division for Revision	
Revision submitted to Budget and Analysis	
Submitted to Senior Legal Advisor for Contracts, Grants and Compliance	

### Review Comments

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## DHHS Approval

The recommended action is:

☒ Approved

☐ Denied: Reason:

**Further Action to be taken:**

Secretary or Designee:

Signature

Printed Name

Date \_\_\_\_\_

ATTACHMENT 3

LOW INCOME HOME ENERGY ASSISTANCE PROGRAM (LIHEAP)

DETAILED MODEL PLAN

PUBLIC LAW 97-35, AS AMENDED

FISCAL YEAR (FY) 2015

GRANTEE NORTH CAROLINA

EIN 566023166 E6

NC DEPARTMENT OF HEALTH AND HUMAN SERVICES – DIVISION OF SOCIAL  
SERVICES

FOOD AND NUTRITION SERVICES & ENERGY PROGRAMS SECTION

325 N. SALISBURY STREET, MAIL SERVICE CENTER 2420

RALEIGH, NORTH CAROLINA 27699-2420

NAME OF LIHEAP CONSULTANT Erica Jennings

EMAIL: erica.jennings@dhhs.nc.gov

TELEPHONE: 919-527-6309 FAX: 919-334-1265

PLEASE CHECK ONE: TRIBE \_\_\_\_\_ STATE   X   INSULAR AREA

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

August 1987, revised 05/92, 02/95, 03/96, 12/98, 11/01

OMB Approval No. 0970-0075

Expiration Date: 09/30/2011

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

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

Assurances

The NC Department of Health and Human Services – Division of Social Services agrees to:  
(grantee name)

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

- (A) conduct outreach activities and provide assistance to low income households in meeting their home energy costs, particularly those with the lowest incomes that pay a high proportion of household income for home energy, consistent with paragraph (5);
- (B) intervene in energy crisis situations;
- (C) provide low-cost residential weatherization and other cost-effective energy-related home repair; and
- (D) plan, develop, and administer the State's program under this title including leveraging programs,

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

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

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

- (i) assistance under the State program funded under part A of title IV of the Social Security Act;
- (ii) supplemental security income payments under title XVI of the Social Security Act;
- (iii) food stamps under the Food Stamp Act of 1977; or
- (iv) payments under section 415, 521, 541, or 542 of title 38, United States Code, or under section 306 of the Veterans' and Survivors' Pension Improvement Act of 1978; or

(B) households with incomes which do not exceed the greater of—

- (i) an amount equal to 150 percent of the poverty level for such State; or
- (ii) an amount equal to 60 percent of the State median income;

except that a State may not exclude a household from eligibility in a fiscal year solely on the basis of household income if such income is less than 110 percent of the poverty level for such State, but the State may give priority to those households with the highest home energy costs or needs in relation to household income.

(3) conduct outreach activities designed to assure that eligible households, especially households with elderly individuals or disabled individuals, or both, and households with high home energy burdens, are made aware of the assistance available under this title, and any similar energy-related assistance available under subtitle B of title VI (relating to community services block grant program) or under any other provision of law which carries out programs which were administered under the Economic Opportunity Act of 1964 before the date of the enactment of this Act;

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

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

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

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

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

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

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

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



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

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

(8) provide assurances that,

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

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

(9) provide that--

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

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

(10) provide that such fiscal control and fund accounting procedures will be established as may be necessary to assure the proper disbursement 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");

(11) permit and cooperate with Federal investigations undertaken in accordance with section 2608;

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

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

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

(15) \* beginning in fiscal year 1992, provide, in addition to such services as may be offered by State Departments of Public Welfare at the local level, outreach and intake functions for crisis situations and heating and cooling assistance that is administered by additional State and local governmental entities or community-based organizations (such as community action agencies, area agencies on aging and not-for-profit neighborhood-based organizations), and in States where such organizations do not administer functions as of September 30, 1991, preference in awarding grants or contracts for intake services shall be provided to those agencies that administer the low-income weatherization or energy crisis intervention programs.

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

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

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

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

Signature: \_\_\_\_\_

Title: Secretary of Department of Health and Human Services

Date: \_\_\_\_\_

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

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

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

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

statutory  
references

2605(a)

2605(b)(1)

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

### Dates of Operation

(use of funds)

X heating assistance

December 1<sup>st</sup> – March 31<sup>st</sup>NA cooling assistance

X crisis assistance

Year - round

X weatherization assistance

Year - round

2605(c)(1)(C) ➔ Please estimate what amount of available LIHEAP funds will be used for each component that you will operate: **The total of all percentages must add up to 100%.**

(use of funds)

**% of Grant**

Dollars

44.22 % heating assistance

\$50,032,593

N/A cooling assistance

29.43% crisis assistance

\$33,304,484

2605(k)(1)

13% weatherization assistance

\$14,699,862

6.25 % heating repair/replacement

\$7,074,554

\_\_\_\_\_ % carryover to the following fiscal year

2605(b)(9)

7.02% administrative and planning costs

\$7,939,815

2605(b)(16)

\_\_\_\_\_% services to reduce home energy needs  
including needs assessment (assurance 16)

.08 %Commission of Indian Affairs

\$87,736

100 % TOTAL

\$113,139,044

statutory  
references

2605(c)(1)(C)

➔ The funds reserved for winter crisis assistance which have not been expended by March 15 will be reprogrammed to:

assistance  
funds)       heating assistance       cooling assistance       weatherization assistance

  X   Other(specify): **Our crisis component is a year-round program and serves heating and cooling crisis needs. Any funding not used for heating by March 15<sup>th</sup> will remain with the crisis component and can be used for cooling crisis needs. All crisis funds not used by the end of the state fiscal year are carried over into the next fiscal year in accordance LIHEAP guidelines.**

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

Yes   X   No       

2605(b)(2)

➔ What are your maximum eligibility limits?

2605(c)(1)(A) (Please check the components to which they apply)

**Current year guidelines must be used.**

(eligibility)

  X   200% of the poverty guidelines:  
heating        cooling        crisis        wx   X  

  X   150% of the poverty guidelines:  
heating        cooling        crisis   X   wx       

  X   130% of the poverty guidelines:  
heating   X   cooling        crisis        wx       

       60% of the State's median income:  
heating        cooling        crisis        wx       

       Other (specify for each component)

       Households automatically eligible if one person is receiving  
       TANF,        SSI,        Food Stamps,        Certain means-tested  
veterans programs (heating        cooling        crisis        wx       )

statutory  
references

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

→ Do you have additional eligibility requirements  
for: HEATING ASSISTANCE ( X  Yes   No)

→ Do you use:

Yes No

Assets test?

X

→ Do you give priority in eligibility to:

Elderly?

X

Disabled?

X

Young children?

X

Other:  
(If Yes, please describe)

statutory  
references

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

→ Do you have additional eligibility requirements  
for: COOLING ASSISTANCE (\_\_\_\_ Yes X No)

(eligibility)

**Note: We do not have a separate cooling component. Cooling assistance is available through our Crisis Intervention Program (CIP).**

→ Do you use: Yes No

Assets test? \_\_\_\_\_

→ Do you give priority in eligibility to:

Elderly? \_\_\_\_\_

Disabled? \_\_\_\_\_

Young children? \_\_\_\_\_

Other: \_\_\_\_\_  
(If Yes, please describe)

statutory  
references

2604(c)

2605(c)(1)(A)

→ Do you have additional eligibility requirements for: **CRISIS ASSISTANCE** ( X Yes \_\_\_\_ No)

(eligibility)

	<u>Yes</u>	<u>No</u>
→ Do you use:		
Assets test?	____	<u>X</u>
Must the household have received a shut-off notice or have an empty tank?	<u>X</u>	____
Must the household have exhausted regular benefit?	<u>X</u>	____
Must the household have received a rent eviction notice?	<u>N/A</u>	____
Must heating/cooling be medically necessary?	____	<u>X</u>
Other (Please explain):	____	____

→ What constitutes a crisis? (Please describe)

**A household is in a crisis if it is experiencing or is in danger of experiencing a life threatening or health related emergency due to a heating or cooling issue and sufficient, timely, and appropriate assistance is not available from any other source. North Carolina's Crisis Program does not assist with rent payments.**



statutory  
references

2605(c)(1)(A)

→Do you have additional eligibility requirements for:  
**WEATHERIZATION** ( X Yes      No)

(eligibility)

→Do you use:

Yes No

Assets test?

     X

Priority groups? (Please list)

X     

1. Elderly
2. Disabled
3. Families with children

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

→If Yes, are there exceptions?  
Please list below.

     X

statutory  
references

2605(b)(3)  
2605(c)(3)(A)

(outreach)

→ Please check the outreach activities that you conduct that are designed to assure that eligible households are made aware of all LIHEAP assistance available:

  X   provide intake service through home visits or by telephone for the physically infirm (i.e. elderly or disabled).

  X   place posters/flyers in local and county social service offices, offices of aging, Social Security offices, VA, etc.

  X   publish articles in local newspapers or broadcast media announcements.

       include inserts in energy vendor billings to inform individuals of the availability of all types of LIHEAP assistance.

       make mass mailing to past recipients of LIHEAP.

  X   informs low income applicants of the availability of all types of LIHEAP assistance at application intake for other low-income programs.

  X   execute interagency agreements with other low-income program offices to perform outreach to target groups.

  X   other (Please specify): **The NC Division of Social Services partners with the NC Division of Aging and Adult Services to provide outreach to aging and disabled adults regarding our heating assistance component.**

statutory  
references

2605(b)(4)

⇒ Please describe how you will assure that LIHEAP is coordinated with similar and related programs. The description provided applies to all components unless specifically noted.

(coordination)

**LIHEAP is coordinated with the following programs: Adult Services, SSI, Work First Family Assistance (TANF), Low Income Energy Assistance Program (LIEAP), Crisis Intervention Program (CIP), Weatherization, local Energy Programs, Food and Nutritional Services (SNAP), and Medicaid.**

**These programs conduct outreach for the LIHEAP Program.**

**The goal of the Commission of Indian Affairs is to provide awareness among Native Americans regarding assistance available through various community resources, including help with heating and cooling needs. The Division of Social Services contracts with the Commission to conduct outreach and make referrals to local departments of social services for energy assistance.**

2605(b)(5)

2605(b)(2)

2605(b)(8A)

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

(benefit  
levels)

**To be eligible for our heating component (LIEAP), all households whether categorically or non-categorically eligible, must have income at or below 130% of the current Federal poverty level and assets/resources must be below \$2,200. Priority in eligibility is given to disabled persons and households with a member age 60. Households may apply at the local county department of social services.**

**To be eligible for the Crisis Intervention Program (CIP) categorically or non-categorically, households must have income at or below 150% of the current Federal poverty level and must be experiencing or in danger of experiencing a heating or cooling crisis. Households may apply at the local county department of social services.**

**To be eligible for the Weatherization Assistance Program (WAP), a household must have income at or below 200% of the current Federal poverty level, and it must be cost-effective to weatherize the home. The grantee agrees to weatherize all households determined to be income eligible within the dollars available and consistent with program priorities. The grantee agrees that all households receive equal treatment in the calculation of benefits but not necessarily equal dollars. Households apply at their local community action agency.**

**The Heating and Air Repair and Replacement Program (HARRP) is a crisis program administered alongside WAP. Households must be at or below 150% of the current Federal poverty level.**

statutory  
references

**HEATING COMPONENT**

2605(b)(5) ➔ Please check the variables you use to determine your benefit levels (check all that apply):

(determination  
of benefits)

- ☒ income  
☒ family (household) size  
☐ home energy cost or need  
☐ fuel type  
☐ climate/region  
☐ individual bill  
☐ dwelling type  
☐ energy burden  
(% of income spent on home energy)  
☐ energy need  
☐ other (describe)

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

(benefit  
levels)

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

**The benefit amount is based upon household size, income, and the household's situation at the time of application; with the exception of resources. Please see the attached payment matrix.**

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

☐ Yes ☒ No If Yes, please describe.

statutory  
references

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

**COOLING COMPONENT**

N/A

(benefit  
determination)

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

- ☐ income
- ☐ family (household) size
- ☐ home energy cost or need
  - ☐ fuel type
  - ☐ climate/region
  - ☐ individual bill
  - ☐ dwelling type
  - ☐ energy burden
  - ☐ (% of income spent on home energy)
  - ☐ energy need
  - ☐ other (describe)

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

(benefit  
levels)

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

N/A

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

☐ Yes ☒ No If Yes, please describe.

statutory  
references

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

**CRISIS COMPONENT**

➔How do you handle crisis situations?

  X   separate component            other (please explain)

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

  X   amount to resolve crisis, up to maximum

           other (please describe)

(benefit  
levels)

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

heating            \$            maximum benefit

cooling            \$            maximum benefit

year-round        \$ 600 maximum benefit

**North Carolina requires all 100 counties to submit an annual Energy Programs Outreach Plan. In this plan, counties are informed of the maximum allowable amount. The maximum benefit amount is \$600 per State fiscal year. This policy allows counties to be consistent across the state regarding crisis assistance benefit amounts.**

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

  X   Yes        No If Yes, please describe.

**In-kind services such as blankets, space heaters, fans, bulk air conditioners, and warm clothing are provided using crisis intervention funds.**

statutory  
references

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

**WEATHERIZATION & OTHER ENERGY RELATED  
HOME REPAIR AND IMPROVEMENTS**

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

(types of  
assistance)

☒ Weatherization needs assessments/audits.  
☒ Caulking, insulation, storm windows, etc.  
☒ Furnace/heating system modifications/repairs  
☒ Furnace replacement  
☒ Cooling efficiency mods/repairs/replacement  
☒ Other (Please describe) **duct sealing, general heat waste reduction**

**Note: North Carolina's Heating and Air Repair and Replacement Program (HARRP) is operated as a subpart of the Crisis Intervention Program (CIP) based on the emergency nature of services provided.**

(benefit  
levels)

➔Do you have a maximum LIHEAP weatherization benefit/expenditure per household? \_\_\_\_\_ Yes ☒ No

If Yes, what is the maximum amount? \$ \_\_\_\_\_

➔Under what rules do you administer LIHEAP weatherization? (Check only one.)

(types of  
rules)

\_\_\_\_\_ Entirely under LIHEAP (not DOE) rules  
☒ Entirely under DOE LIWAP rules  
\_\_\_\_\_ Mostly under LIHEAP rules with the following DOE LIWAP rule(s) where LIHEAP and LIWAP rules differ (Check all that apply):  
\_\_\_\_\_ Weatherize buildings if at least 66% of units (50% in 2- & 4-unit buildings) are eligible units or will become eligible within 180 days  
\_\_\_\_\_ Weatherize shelters temporarily housing primarily low income persons (excluding nursing homes, prisons, and similar institutional care facilities).  
\_\_\_\_\_ Other (Please describe)  
\_\_\_\_\_ Mostly under DOE LIWAP rules, with the following LIHEAP rule(s) where LIHEAP and LIWAP rules differ (Check all that apply.)  
\_\_\_\_\_ Weatherization not subject to DOE LIWAP maximum statewide average cost per dwelling unit.  
\_\_\_\_\_ Other (Please describe.)

2605(b)(6) The state or tribe administers LIHEAP through the following local agencies:

- ☒ county welfare offices
- ☒ community action agencies (weatherization component only)
- ☒ community action agencies (heating, cooling or crisis)
- ☒ charitable organizations
- ☐ not applicable (i.e. state energy office)
- ☒ tribal office
- ☐ other, describe:

→ Have you changed local administering agencies from last year?

☐ Yes ☒ No

If Yes, please describe how you selected them.

(agency  
designation)

→ What components are affected by the change?

2605(c)(1)(E) →

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

(targeting of  
assistance)

**We target the most vulnerable population for our heating component, the disabled and persons age 60 and above for priority in access to benefits by allowing these groups to apply for heating assistance from December 1<sup>st</sup> through December 31<sup>st</sup>. All other households are potentially eligible from January 1<sup>st</sup> through March 31<sup>st</sup>. These target households often have limited resources due to a low, fixed income. Allowing the most vulnerable population to apply for assistance before all other households helps ensure they will receive a benefit prior to the end of the heating season and prior to funds being exhausted.**



statutory  
references

2605(b)(7)  
(energy  
suppliers)

➔Do you make payments directly to home energy suppliers?

Heating   X   Yes        No

Cooling N/A        Yes        No

Crisis   X   Yes        No

If Yes, are there exceptions?        Yes   X   No

If Yes, please describe.

**All vendors who agree to accept LIEAP and CIP as payment for energy service must enter into an agreement with the county department of social services to accept it as payment in order to continue or provide heating or cooling service to the recipient household. This agreement meets all assurances requirements in Section 2605(7).**

2605(b)(7)(A)

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

**The State requires that the applicant for the Crisis Intervention Program (CIP) and the Low Income Energy Assistance Program (LIEAP) be notified of the application and the amount of payment paid on his behalf to the vendor if approved. This is done via form DSS-8107 for approvals and denials.**

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

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

**Once eligibility has been determined, an applicant is provided a system-generated Approval/Denial Notice (DSS-8107). If eligibility is approved, payment is submitted to the utility provider for the household. North Carolina uses a Home Energy Supplier Agreement (DSS-8163) to ensure vendors do not treat recipients adversely. This contract ensures funds paid on behalf of the recipient are properly applied to the recipient's account to alleviate a heating or cooling emergency. The Home Energy Supplier Agreement meets all assurances in Section 2605(7).**

**A copy of the DSS-8107 and DSS-8163 is attached.**

statutory  
references

2605(b)(8)(B)

➔Is there any difference in the way owners and renters are treated? If Yes, please describe.

(owners  
and  
renters)

**HEATING ASSISTANCE**

\_\_\_\_\_ Yes   X   No

**COOLING ASSISTANCE**

\_\_\_\_\_ Yes \_\_\_\_\_ No N/A

**CRISIS ASSISTANCE**

\_\_\_\_\_ Yes   X   No

**WEATHERIZATION**

\_\_\_\_\_ Yes   X   No

statutory  
references

2605(b)(10)

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

(Program, fiscal  
Monitoring, and  
Audit)

**North Carolina's Division of Social Services operates under a county administered state supervised system. The county departments of social services determine eligibility for client participation in the heating and crisis components of LIHEAP. Both state and county administrative costs of direct caseworkers are charged directly to the appropriate program and supervisory and overhead costs are allocated in accordance with the cost allocation plan approved by the Department of Health and Human Services, Division of Cost Allocation.**

**The North Carolina Department of Health and Human Services fiscal/budget Division tracks in-house and sub grantee and administrative costs. Indirect costs are handled through cognizant agencies prior to the final indirect cost rate being developed.**

**Expenditures on all components of the LIHEAP are recorded in the NC Division of Social Services' accounting records by Fund, Cost Center and line item. Documentation for county expenditures (administrative costs, crisis, and heating assistance) are maintained by the county finance officers.**

**Documentation of State office expenditures are maintained by the NC Division of Social Services accounting office.**

**Applications for the crisis and heating component are taken by county Department of Social Services personnel and additional State and local governmental entities or community-based organizations. The applications are processed by the county and are retained by the county.**

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

**Monitoring of program eligibility for heating assistance and crisis assistance is accomplished by either an on-site review by the Division of Social Services Local Support Staff or self-monitoring by the county department of social services. The Division of Social Services Local Support Staff assigned each county determines which procedure is used. Case records are randomly selected and reviewed. The number of cases reviewed in each county for heating assistance is based on the county size. Three cases per county are reviewed for the crisis program. Corrective action is taken on any deficiencies cited. The Division of Social Services Local Support Staff monitors and evaluates the corrective actions taken by the county. The monitoring forms are audited by the State Auditor's Office each year.**

**Benefit levels for the heating assistance component are set by the State according to the payment matrix. Benefit levels for the Crisis Intervention Program (CIP) are reviewed as part of the monitoring process described above.**

**The NC Department of Health and Human Services accounting system records documentation for sub grantee expenditures for Weatherization. The administrative and program costs are maintained at the local level. Disbursements are made monthly based on the receipt of the monthly report from the sub grantees.**

**Monitoring of program eligibility for Weatherization assistance is accomplished by on-site reviews by NC Department of Health and Human Services/Weatherization Program staff. Programmatic monitors assure that approximately two monitoring visits are made to each sub grantee per year.**

➔How is your LIHEAP program audited?

Under the Single Audit Act?   X   Yes        No

If not, please describe:

For States and Territories:

➔Is there an annual audit of local administering agencies?   X   Yes        No

If not, please explain.

GRANTEE   NORTH CAROLINA  

FFY   2015  

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statutory  
references

2605(b)(12)

(timely and

meaningful  
public

partici-  
pation)

➔How did you get timely and meaningful public participation in the development of the plan? (Please describe.)

### **I. Heating and Crisis**

**North Carolina agrees to provide for public participation in the development of the plan described in Subsection (c).**

**In order to meet this requirement, North Carolina distributed copies of the proposed plan to the Division of Social Services office in Raleigh and the proposed plan was made available at the 100 county Departments of Social Services for public review and comments during May 5 – May 9, 2014. The plan was also available on the Internet at [www.dhhs.gov/dss/pubnotice/liheap.htm](http://www.dhhs.gov/dss/pubnotice/liheap.htm)**

**Note: North Carolina does not operate a separate Cooling Assistance Program as mentioned on page 10 of the State's LIHEAP Block Grant Plan.**

### **II. Weatherization**

**The annual application for funding (state plan) for the Weatherization Program is submitted to and approved by the Policy Advisory Council and presented for public hearing prior to submission to the Federal Department of Energy. Copies of the proposed State Plan are mailed to each sub grantee and relevant State agencies along with the Notice of Public Hearing. The Notice of Public Hearing is printed in 4 to 5 newspapers across the State, and copies of the Plan are available on request to any interested individual or organization.**

2605(a)(2)

(public  
hearings)

➔Did you conduct public hearings on the proposed use and distribution of your LIHEAP funds?

  X   Yes        No When and where?

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

**On May 9, 2014 from 2:30 pm to 3:30 pm in Room 151 of the Dix Campus McBryde Building, 820 S. Boylan Ave, Raleigh, the NC Division of Social Services held a general public hearing for the LIHEAP Block Grant. Citizens could comment on the Plan May 5 - May 9, 2014.**

**The public hearing for the Weatherization Program was held at 10:00 on May 14, 2014, at the Weatherization Office, 217 W. Jones Street Raleigh NC 27603.**

statutory  
references

2605(b)(13)

→ Describe your fair hearing procedures for households whose applications are denied or not acted on in a timely manner. When are applicants informed of these rights?

(fair hearings)

## **I. CRISIS AND HEATING**

**Households that apply for crisis or heating assistance, rights are explained at the time of application. North Carolina issues notices for both approved and denied cases for CIP and LIEAP. The notice includes fair hearing rights. The household has the right to an appeal when:**

- a. It is denied the right to apply for benefits; or**
- b. Benefits are denied; or**
- c. A decision is not made on its application in a timely manner; or**
- d. The payment is less than the household believes it should be.**

**Households have 60 calendar days from the date on the approval or the denial notice to request a hearing. The hearing can be requested orally or in writing.**

**The household has a right to request a State hearing only after a local appeal hearing has been held, and a decision has been rendered. The household must request a State appeal within five calendar days from the date of the local hearing decision. The State hearing officer will have 15 calendar days to render a decision.**

**If the household is not satisfied with the final decision following the State hearing, it may, within 30 calendar days of the receipt of the decision, file a petition for judicial review in superior court.**

## **II. WEATHERIZATION**

**The Weatherization Program provides funds to local community action agencies for the purchase and installation of materials such as ceiling, wall and floor insulation, caulking, and weather-strip on the homes of low-income families, particularly the elderly and handicapped, in order to make homes more efficient, reduce monthly utility bills, and provide a more healthful living environment.**

**All clients are entitled to a fair hearing if they believe they have been incorrectly denied assistance, or the agency did not act upon their application within a reasonable time.**

**The agency's appeals process or procedure must specify:**

- a. the name and address of the person/persons with whom the appeal should be filed,**
- b. the time requirements on the applicant for filing the appeal,**
- c. the method of review to be used, i.e. formal hearing, staff/client interviews, etc., time allowed to request the appeal,**
- d. the time requirements on the organization for review of the appeal and rendering of a final decision, and**
- e. the next level of appeal including to whom, time allowed to request the appeal, the method of review to be used, the time requirements on the organization for review of the appeal and rendering a final decision.**

**In no instance should staff that recommended or made the initial decision regarding ineligibility be the individual that the appeal is made to or have the authority to decide the validity of an appeal or be involved in the final disposition of the appeal. It is recommended that the final level of appeal be the agency's board of directors or committee thereof.**

statutory  
references

2605(b)(15)

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

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

**YES**

(alternate  
outreach  
and intake)

**HEATING ASSISTANCE**

  X   Yes        No

If Yes, describe alternate process for outreach and intake:

**Counties form an interagency committee and include additional State and local governmental entities or community-based organizations as part of the committee. When agencies are first contacted, the county explains the purpose of the Energy Programs, solicit their participation on the committee and their assistance with outreach.**

**I. OUTREACH**

**At the first committee meeting, it is suggested that the county director or his designee do the following.**

- A. Explain LIEAP and CIP; and**
- B. Provide informational materials on LIEAP and CIP (e.g., DSS-8117, flyers, manual material); and**
- C. Poll the various agencies on the types of assistance they might provide in the outreach effort (e.g., transportation, distribution of informational literature, etc.)**

**While individual contacts with agencies would be needed during the course of the program, the committee approach helps to ensure coordination and prevent duplication of effort.**



## **II. APPLICATION-TAKING**

**A. The requirement for intake may be met in one of three ways.**

- 1. The county may set up outpost locations at one or more of the outside agencies and have a county caseworker take applications.**
- 2. The county may contract out application-taking to one of the outside agencies.**
- 3. The county may have these agencies take applications in addition to the county department of social services.**

**If the county chooses option 2 or 3 above, the county department must contact the agencies to determine whether they are interested in taking heating or cooling applications. It is suggested that the county department of social services have a Memorandum of Understanding or written agreement with the agency in order to ensure that deadlines and the confidentiality requirements are met.**

**B. Following are guidelines as to how application-taking requirements may be fulfilled.**

- 1. The county director or his designee must meet with the agencies which will be taking applications and discuss the following.**
  - a. Explanation of LIEAP and CIP Application Process**
  - b. Forms needed to take applications for the LIEAP and crisis components and how they will be supplied; and**
  - c. Training needs for staff who will take applications; and**
  - d. Coordination procedures between the county department of social services and other agencies; and**
  - e. Critical time frames for receiving applications; and**
  - f. Procedures to avoid duplication; and**
  - g. Memorandum of Understanding or written agreement.**

## 2. County Department's Responsibility

- a. Training the other agency staff to take and process CIP applications; and
- b. Maintaining fiscal responsibility for the programs; and
- c. Maintaining confidentiality of information in case records; and
- d. Requesting and verifying information needed to process automatic and non-automatic LIEAP, and CIP benefits.

### III. OUTREACH AND APPLICATION-TAKING PLAN

Each county is required to submit yearly an Energy Programs Outreach Plan, which addresses outreach and application-taking activities for CIP benefits.

#### COOLING ASSISTANCE

\_\_\_\_\_ Yes \_\_\_\_\_ No N/A

If Yes, describe alternate process for outreach and intake:

## CRISIS ASSISTANCE

  X   Yes        No

If Yes, describe alternate process for outreach and intake:

**Counties form an interagency committee and include additional State and local governmental entities or community-based organizations as part of the committee. When agencies are first contacted, the county explains the purpose of the Energy Programs, solicit their participation on the committee and their assistance with outreach.**

### **I. OUTREACH**

**At the first committee meeting, it is suggested that the county director or his designee do the following.**

- A. Explain LIEAP and CIP; and**
- B. Provide informational materials on LIEAP and CIP (e.g., DSS-8117, flyers, manual material); and**
- C. Poll the various agencies on the types of assistance they might provide in the outreach effort (e.g., transportation, distribution of informational literature, etc.)**

**While individual contacts with agencies would be needed during the course of the program, the committee approach helps to ensure coordination and prevent duplication of effort.**

### **II. APPLICATION-TAKING**

- A. The requirement for intake may be met in one of three ways.**
  - 1. The county may set up outpost locations at one or more of the outside agencies and have a county caseworker take applications.**
  - 2. The county may contract out application-taking to one of the outside agencies.**
  - 3. The county may have these agencies take applications in addition to the county department of social services.**

**If the county chooses option 2 or 3 above, the county department must contact the agencies to determine whether they are interested in taking heating or cooling applications. It is suggested that the county department of social services have a Memorandum of Understanding or written agreement with the agency in order to ensure that deadlines and the confidentiality requirements are met.**

**B. Following are guidelines as to how application-taking requirements may be fulfilled.**

- 1. The county director or his designee must meet with the agencies which will be taking applications and discuss the following.**
  - a. Explanation of LIEAP and CIP Application Process**
  - b. Forms needed to take applications for the LIEAP and crisis components and how they will be supplied; and**
  - c. Training needs for staff who will take applications; and**
  - d. Coordination procedures between the county department of social services and other agencies; and**
  - e. Critical time frames for receiving applications; and**
  - f. Procedures to avoid duplication; and**
  - g. Memorandum of Understanding or written agreement.**

## **2. County Department's Responsibility**

- a. Training the other agency staff to take and process CIP applications; and**
- b. Maintaining fiscal responsibility for the programs; and**
- c. Maintaining confidentiality of information in case records; and**
- d. Requesting and verifying information needed to process automatic and non-automatic LIEAP, and CIP benefits.**

### **III. OUTREACH AND APPLICATION-TAKING PLAN**

**Each county is required to submit yearly an Energy Programs Outreach Plan, which addresses outreach and application-taking activities for LIEAP and CIP benefits.**

statutory  
references

2605(b)(16)

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

☐ Yes ☒ No

If Yes, please describe these activities.

If Yes, how do you ensure that you don't use more than 5% (statutory ceiling) of your LIHEAP funds for these activities?

statutory  
references

2607A

(leveraging)

→ Please describe leveraging activities planned for the fiscal year. **(This entry is optional.)\*** Complete this entry if you plan to apply for LIHEAP leveraging incentive funds and to include in your leveraging report resources/benefits provided to low income households this fiscal year under criterion (iii) in 45 CFR 96.87(d)(2). Provide the following information for each:

- (1) Identify and described each resource/benefit;
- (2) Identify the source(s) of each resource; and
- (3) Describe the integration/coordination of each resource/benefit with the LIHEAP program, consistent with 1 or more of conditions A-H in 45 CFR 96.87(d)(2)(iii).

**The State, non-profit agencies, and county Departments of Social Services receive in-kind contributions and money from fuel funds, city and county governments, and private citizens and corporations. Non-profit agencies and county Departments of Social Services sign guarantees of deposits for utilities. A utility company has a rate reduction program for SSI recipients. The funds received, deposit guarantees, and rate reduction program assist persons with energy expenses who meet the federal LIHEAP eligibility guidelines.**

**Examples of fuel funds are Progress Energy's Energy Neighbor Program and Piedmont Natural Gas' Share the Warmth Program, whom contribute money to the State for disbursement to counties in their service area.**

**Examples of the other programs listed above are Crisis Assistance Ministry (non-profit agency) in Mecklenburg County, which guarantees deposits for utilities, distributes donated fuel oil, and disburses funds donated by the City of Charlotte, Mecklenburg County, and private citizens and corporations. Wake County Human Services guarantees deposits for utilities and disburses contributions from private citizens and corporations which help pay utility bills, buy fans, purchase heating fuels, etc., for client energy needs.**

**All of the above programs, except the rate reduction program, are considered prior to, or in conjunction with, the use of LIHEAP crisis funds. Many of the agencies disbursing the funds administer the above programs and the Crisis Program under LIHEAP. Other agencies coordinate with the agencies that administer the Crisis Program under LIHEAP before disbursing funds. There is no duplication of benefits.**

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

statutory  
references

2605(b)

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

(performance)  
goals and  
measures)



## ADDITIONAL CERTIFICATIONS AND REQUIREMENTS

Attached are additional certifications required as follows:

- \* **Lobbying certification**, which must be filed by all States and territories. If applicable, Form LLL, which discloses lobbying payments, must be submitted. **(Tribes and tribal organizations are EXEMPT)**
- \* **Debarment and suspension certification**, which must be filed by all grantees.
- \* **Drug-free workplace requirement certification**, which must be filed by all grantees, unless the grantee has filed a statewide certification with the Department of Health and Human Services. **STATES ONLY:** If you have filed a statewide certification for the drug-free workplace requirement, please check here:\_\_\_\_\_
- \* One of the new requirements included in the 1994 reauthorization of the statute is that grantees must include in their annual application for funds a report on the number and income levels of households applying for and receiving LIHEAP assistance, and on the number of recipient households that have members who are elderly, disabled, or young children.  
  
**All Tribes and those territories with allotments of less than \$200,000** need only submit data on the number of households served by each component (heating, cooling, weatherization and crisis). The approval for the collection of information contained in the **LIHEAP Household Report** is covered by OMB approval number 0970-0060.
- \* Though not a part of this application, the report on funds to be carried over or available for reallocation as required by section 2607(a) for the preceding year must be submitted by August 1 of each year. A grant award for the current fiscal year may not be made until the carryover/reallocation report is received. The approval for the collection of information contained in the **LIHEAP Carryover and Reallocation Report** is covered by OMB approval number 0970-0106.