

STATE OF NORTH CAROLINA
OFFICE OF THE GOVERNOR

PAT McCrORY
GOVERNOR

September 6, 2013

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. 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".

Pat McCrory
Governor of the State of North Carolina

cc: Aldona Z. Wos, M.D.
Secretary, Department of Health and Human Services



North Carolina Department of Health and Human Services

Pat McCrory
Governor

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

September 6, 2013

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 black ink, appearing to read "Wos".

Aldona Z. Wos, M.D.
Secretary

Enclosures

www.ncdhhs.gov

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

Location: 101 Blair Drive • Adams Building • Raleigh, NC 27603
Mailing Address: 2001 Main Street • Raleigh, NC 27609-2001

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EXECUTIVE SUMMARY

LOW INCOME HOME ENERGY ASSISTANCE BLOCK GRANT

GENERAL DESCRIPTION

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 persons when a heating or cooling related crisis occurs. Allocations are provided to county departments of social services for: Vendor or voucher payments, the purchase of in-kind services, payment of home repairs, or bulk buying.
3. **Weatherization Assistance Program (WAP)**
Funds are available through the Department of Commerce Office of Economic Opportunity, 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 through the Department of Commerce Office of Economic Opportunity. 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.

REQUIREMENTS

The Department has established the following eligibility criteria for the FFY 2013-2014 Program:

1. **Low Income Energy Assistance Payments for Heating**
Households must have income at or below 130 percent of the current poverty level, have assets of \$2,200 or less, and be subject to pay energy costs related to heating. Households with a member age 60 and over, disabled persons and those households with the lowest income and highest relative energy costs and needs are targeted.
2. **Crisis Intervention**
Households must have income at or below 150 percent of the current poverty level and be in a heating or cooling crisis.
3. **Weatherization Assistance Program**
Households must have income at or below 200 percent of the current poverty level.
4. **Heating and Air Repair and Replacement Program**
Households must have income at or below 150 percent of the current poverty level.

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
ADMINISTRATION FOR CHILDREN AND FAMILIES

FORM ACF-535
LOW INCOME HOME ENERGY ASSISTANCE PROGRAM
QUARTERLY ALLOCATION ESTIMATES

Paperwork Act Notice: This information is used by the Administration for Children and Families to determine the quarterly allocation estimates for the LIHEAP program. This is public information and is published in an annual report to Congress.

Reporting Burden Notice: The reporting burden imposed by this collection of information is estimated to average .25 hours per response. This includes time for reviewing instructions, searching data resources, gathering and maintaining the data needed, and completing and reviewing the information collected.

Note: 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.

STATE North Carolina	SUBMISSION (MARK BOX) <input checked="" type="checkbox"/> New <input type="checkbox"/> Revised	REPORT FOR FISCAL YEAR 2013-2014
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For each quarter indicated, enter the estimated percentage of the annual funding required for that quarter.

1 ST QUARTER: _____ 100 _____ %

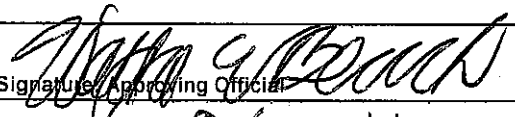
2 ND QUARTER: _____ %

3 RD QUARTER: _____ %

4 TH QUARTER: _____ %

TOTAL: _____ 100 _____ %

IF THE STATE FAILS TO SUBMIT THIS REPORT,
AWARDS WILL BE ISSUED IN FOUR EQUAL AMOUNTS

Signature/Approving Official 	Wayne Black, Director Typed Name, Title, Agency Name
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Date Submitted: 8/27/13	NC Division of Social Services
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Page 1 of 1

Submit Completed Reports to:

Administration for Children and Families
Office of Administration
Office of Grants Management
Division of Mandatory Grants
Attn: Lydia Peele, Mail Stop: OA/OGM/DMG
370 L'Enfant Promenade, S.W.
Washington, D.C. 20447
Fax: 202-401-5519
E-Mail: Lydia.Peele@acf.hhs.gov

**DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION OF SOCIAL SERVICES**

LOW INCOME HOME ENERGY ASSISTANCE PROGRAM BLOCK GRANT (LIHEAP) NARRATIVE

For State Fiscal Year 2013-2014, the North Carolina Low Income Home Energy Assistance Program allocation information is based on the Block Grant request for Federal Fiscal Year (FFY) 2013 taking into account a possible reduction in future funding, and dollars carried forward from previous years (including FFY 2013). This amount may change depending on actual appropriations from Congress.

Based on our block grant request for FFY 2013, carry-forward dollars, and a possible reduction in future funding, the projection for FFY 2014 is \$114,911,848. The Tribal Government Council (TGC) will receive a federal set aside and an amount to equalize payments by using 0.0012 percent of the Gross LIHEAP Block Grant. This percentage is based on previous years' Federal Set Aside and Amount to Equalize Payments. This percentage amount will also be used if the State receives emergency contingency funds or when there is an increase in the base amount for the LIHEAP Block Grant. **The anticipated total available for LIHEAP is \$114,911,848.**

GENERAL DESCRIPTION

The purpose of the Low Income Home Energy Assistance Program Block Grant is to provide funds to help low-income families cope with cost increases of heating fuel and to provide emergency assistance. There are four components:

1. Low Income Home Energy Assistance Payments – Funds are used to provide a one-time payment to eligible households to help pay heating bills.
2. Crisis Intervention Assistance – Funds are used to assist low-income households when a heating or cooling related crisis occurs. Allocations are provided to county departments of social services to make direct payments, vendor payments, or to provide in-kind services for eligible households.
3. Weatherization Assistance Program-- Funds are transferred from the Department of Health and Human Services, to the Department of Commerce, State Energy Office for the purpose of making repairs to dwellings that result in more energy-efficient homes.
4. Heating and Air Repair and Replacement Program-- Funds are used to provide assistance and repairs to home heating and cooling systems for low-income families. These funds are allocated to the Department of Commerce, State Energy Office. Services are provided primarily through community action agencies.

The Department of Administration, Commission on Indian Affairs also receives funds to provide outreach and application taking activities for the Low Income Energy Assistance Program (LIEAP) and the Crisis Intervention Program (CIP) programs. These activities are conducted by the Coharie Intra-Tribal Council, the Haliwa-Saponi Tribe and the Waccamaw-Siouan Development Association.

NOTE:

LIHEAP Block Grant Public Review Comment Period was held May 6 – May 10, 2013. The Public Hearing was conducted May 10, 2013, from 2:30 to 3:30 pm, Hargrove Building, 1st floor conference Room, Dorothea Dix Campus.

RECOMMENDATION

	<u>% OF GRANT</u>	<u>DOLLARS</u>
1. Low Income Energy Assistance Payments	44.21%	\$50,876,440
2. Crisis Intervention Program	29.47%	\$33,866,195
3. Weatherization Assistance Program (WAP)	13.01%	\$15,022,303
4. Commission of Indian Affairs	0.14%	\$87,736
5. Heating Air Repair and Replacement Program (HARRP)	6.26%	\$7,870,577
6. State / County Administration	6.91%	\$7,188,597
TOTAL LIHEAP BLOCK GRANT		\$114,911,848

** Administrative Cost break down is as follows:

State/ County Administration:	\$7,188,597
Dept. of Environment & Natural Resources (WAP)	\$74,514
Dept. of Environment & Natural Resources (HAARP)	\$676,704

Total Administration \$7,939,815

Total allocation to the Department of Commerce including Administration: \$22,892,880. **This represents 19.92% of the total LIHEAP Block Grant.**

OMB Clearance No.: 0970-0106 Expiration Date: 9/30/2014
LOW INCOME HOME ENERGY ASSISTANCE PROGRAM CARRYOVER AND REALLOTMENT REPORT

Grantee: NORTH CAROLINA	Date: 07/24/2013
For Funds Appropriated in FY: 2013	

This form must be submitted by August 1st. If you later find that your estimates are not accurate, submit a revised report as soon as possible. The next fiscal year's grant award will not be issued to you until the Carryover and Reallotment Report for the current fiscal year is received by HHS. Section 2607(b)(2)(B) of the LIHEAP statute requires that at least 90% of funds available must be obligated in the year in which they are appropriated. Not more than 10 percent of the amount payable for a fiscal year may be held for obligation in the succeeding fiscal year.

Carryover and Reallotment

1) Current year amount payable (regular block grant funds, contingency funds, and oil overcharge funds)	\$86,142,314
2) 10 percent of amount payable	\$8,614,231
3) Projected unobligated balance	\$8,614,231
Carryover amount (Funds to be carried over for obligation in the following Federal fiscal year.)	\$8,614,231
Reallotment amount (Funds that exceed the 10% carryover amount and are to be returned the Federal government.)	\$0
4) If you report a carryover amount greater than \$0, please provide the following:	
a) briefly state reasons that these funds will not be used in the Federal fiscal year for which they were allotted Due to the manner in which our state plan for the LIHEAP program is developed, we will not expend all of our FFY 2013 LIHEAP grant funds by September 30, 2013.	
b) briefly describe the types of assistance to be provided with the amount held available for the following Federal fiscal year: The amount will be used to provide a one-time vendor payment to help eligible households pay their heating bills until benefits are exhausted. Households containing an elderly person age 60 and above or a disabled persons receiving services through the Division of Aging and Adult Services (DAAS) are given priority. Funds will also be used to provide assistance to eligible households that are in a heating or cooling related emergency.	

Certification

Certification: By signing this report, I certify that it is true, complete, and accurate to the best of my knowledge. I am aware that any false, fictitious, or fraudulent information may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 18, Section 1001)	
a. Name of Authorized Official:	d. Telephone: (919) 855- 3721 Ext.
b. Title of Authorized Official: Accountant	e. Email address: Beverly.Godwin@dhs.nc.us
c. Signature of Authorized Official: <i>Ersign Beverly Godwin</i>	f. Date Submitted: <i>7/25/13</i>



North Carolina Department of Health and Human Services
Division of Social Services

Pat McCrory
Governor

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

Sherry S. Bradsher
Division Director

May 10, 2013

There were no attendees at the State Public Hearing regarding the 2013-2014 LIHEAP Block Grant. The hearing was scheduled on May 10, 2012 from 2:30 until 3:30 in the Hargrove Building First Floor Conference Room located on Dorothea Dix Campus.

Sincerely

A handwritten signature in cursive script that reads "Erica Jennings".

Erica Jennings

Economic and Family Services
www.ncdhhs.gov • www.ncdhhs.gov/dss
Tel 919-527-6300 • Fax 919-334-1265

Location: Hargrove Building/Dix Campus • 820 S. Boylan Avenue • Raleigh, NC 27603
Mailing Address: 2420 Mail Service Center • Raleigh, NC 27699-2420

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LOW INCOME HOME ENERGY ASSISTANCE PROGRAM (LIHEAP)

ABBREVIATED MODEL PLAN

PUBLIC LAW 97-35, AS AMENDED

FISCAL YEAR (FY) 2014

GRANTEE: NORTH CAROLINA

EIN: 566023166 E6

**ADDRESS: NC DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION OF SOCIAL SERVICES
ECONOMIC AND FAMILY SERVICES SECTION
2420 MAIL SERVICE CENTER
HARGROVE BLDG, DIX CAMPUS
RALEIGH NC 27699-2420**

NAME OF LIHEAP COORDINATOR: Erica Jennings

EMAIL: Erica.Jennings@dhhs.nc.gov

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

LAST DETAILED MODEL PLAN FILED: FY 2013

PLEASE CHECK ONE: TRIBE _____ STATE X INSULAR AREA _____

**Department of Health and Human Services
Administration for Children and Families
Office of Community Services
Washington, D.C. 20447**

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

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

Use of this model plan is optional. However, the information requested is required in order to receive a Low Income Home Energy Assistance Program (LIHEAP) grant in years in which a grantee is not required to use the detailed model plan. Public reporting burden for this collection of information is estimated to average 20 minutes 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 vendored 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 not transferred pursuant to section 2604(f) for use under another block grant; 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. Territories with annual allotments of \$200,000 or less and Indian tribes/tribal organizations are not 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: ✓ [Handwritten Signature]

Title: Secretary

Date: 9-5-2013

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

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

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

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

Modified LIHEAP FY 2014 Application

Please list all changes made from your most recent detailed plan.

<u>Page</u>	<u>Subject</u>	<u>Modification</u>
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No changes have been made since the final FY 2013 LIHEAP Plan was submitted in September 2013.

Please specify whether you are using calendar year 2013 poverty level or FY 2014 median income estimates in determining eligibility:

2013 poverty level:	Heating	<u>130%</u>
	Crisis	<u>150%</u>
	Weatherization	<u>200%</u>

OR

FY 2014 median income _____%

Please describe how you obtained public participation in the development of your 2014 plan. (For States, please also provide information on your public hearings.):

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 6 – May 10, 2013. The plan was also available on the Internet at www.dhhs.gov/dss/pubnotice/liheap.htm

On Friday, May 10, 2013 from 2:30 pm to 3:30 pm in the Hargrove Bldg. 1st floor Conference Room of the Dix Campus Hargrove Bldg., 820 S. Boylan Ave., Raleigh, the NC Division of Social Services held a general public hearing for the LIHEAP Block Grant. Citizens may comment on the Plan May 6 - May 10, 2013.

Note: North Carolina does not operate a separate Cooling Assistance Program

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. The public hearing will be held May 21, 2013, at the Weatherization Office, 1830-A Tillery Place, Raleigh, North Carolina.

Date Carryover and Reallotment Report submitted: July 2013

Submit Continuation Pages as Necessary

ADDITIONAL CERTIFICATIONS AND REQUIREMENTS

Attached are additional certifications required as follows:

- * **Lobbying certification**, which must be filed by all States and territories. If applicable, Form LLL, which discloses lobbying payments, must be submitted. **(Tribes and tribal organizations are EXEMPT.)**
- * **Debarment and suspension certification**, which must be filed by all grantees.
- * **Drug-free workplace requirement certification**, which must be filed by all grantees, unless the grantee has filed a statewide certification with the Department of Health and Human Services. **STATES ONLY:** If you have filed a statewide certification for the drug-free workplace requirement, please check here: _____
- * One of the requirements included in the 1994 reauthorization of the statute is that 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.

**DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION OF SOCIAL SERVICES**

**CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND OTHER
RESPONSIBILITY MATTERS**

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

ATTACHMENT I

48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs. 9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings. 10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

Certification Regarding Debarment, Suspension, and Other Responsibility Matters--
Primary Covered Transactions (1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals: (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any Federal department or agency; (b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property; (c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and (d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default. (2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

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

Instructions for Certification 1. By signing and submitting this proposal, the prospective lower tier participant is

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providing the certification set out below. 2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment. 3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or had become erroneous by reason of changed circumstances. 4. The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meaning set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations. 5. The prospective lower tier participant agrees by submitting this proposal that, [[Page 33043]] should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated. 6. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions. 7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from covered transactions, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs. 8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings. 9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

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



Authorized Agency Official Signature

Secretary _____
Title

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

**DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION OF SOCIAL SERVICES**

**CERTIFICATION REGARDING DRUG-FREE WORKPLACE
REQUIREMENTS**

This certification is required by the regulations implementing the Drug-Free Workplace Act of 1988: 45 CFR Part 76, Subpart, F. Sections 76.630(c) and (d)(2) and 76.645(a)(1) and (b) provide that a Federal agency may designate a central receipt point for STATE-WIDE AND STATE AGENCY-WIDE certifications, and for notification of criminal drug convictions. For the Department of Health and Human Services, the central point is: Division of Grants Management and Oversight, Office of Management and Acquisition, Department of Health and Human Services, Room 517-D, 200 Independence Avenue, SW Washington, DC 20201.

Certification Regarding Drug-Free Workplace Requirements (Instructions for Certification) 1. By signing and/or submitting this application or grant agreement, the grantee is providing the certification set out below. 2. The certification set out below is a material representation of fact upon which reliance is placed when the agency awards the grant. If it is later determined that the grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act. 3. For grantees other than individuals, Alternate I applies. 4. For grantees who are individuals, Alternate II applies. 5. Workplaces under grants, for grantees other than individuals, need not be identified on the certification. If known, they may be identified in the grant application. If the grantee does not identify the workplaces at the time of application, or upon award, if there is no application, the grantee must keep the identity of the workplace(s) on file in its office and make the information available for Federal inspection. Failure to identify all known workplaces constitutes a violation of the grantee's drug-free workplace requirements. 6. Workplace identifications must include the actual address of buildings (or parts of buildings) or other sites where work under the grant takes place. Categorical descriptions may be used (e.g., all vehicles of a mass transit authority or State highway department while in operation, State employees in each local unemployment office, performers in concert halls or radio studios). 7. If the workplace identified to the agency changes during the performance of the grant, the grantee shall inform the agency of the change(s), if it previously identified the workplaces in question (see paragraph five).

8. Definitions of terms in the Nonprocurement Suspension and Debarment common rule and Drug-Free Workplace common rule apply to this certification. Grantees' attention is called, in particular, to the following definitions from these rules: *Controlled substance* means a controlled substance in Schedules I through V of the Controlled Substances Act (21 U.S.C. 812) and as further defined by regulation (21 CFR 1308.11 through 1308.15); *Conviction* means a finding of guilt (including a plea of nolo contendere) or imposition of sentence, or both, by any judicial body charged with the responsibility to determine violations of the Federal or State criminal drug statutes; *Criminal drug statute* means a Federal or non-Federal criminal statute involving the manufacture, distribution, dispensing, use, or possession of any controlled substance; *Employee* means the employee of a grantee directly engaged in the performance of work under a grant, including: (i) All direct charge employees; (ii) All indirect charge employees unless their impact or involvement is insignificant to the performance of the grant; and, (iii) Temporary personnel and consultants who are directly engaged in the performance of work under the grant and who are on the grantee's payroll. This definition does not include workers not on the payroll of the grantee (e.g., volunteers, even if used to meet a matching requirement; consultants or independent contractors not on the grantee's payroll; or employees of subrecipients or subcontractors in covered workplaces).

ertification Regarding Drug-Free Workplace Requirements

Alternate I. (Grantees Other Than Individuals) The grantee certifies that it will or will continue to provide a drug-free workplace by:

- (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
- (b) Establishing an ongoing drug-free awareness program to inform employees about --(1)The dangers of drug abuse in the workplace;
- (2) The grantee's policy of maintaining a drug-free workplace;
- (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
- (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
- c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
- (d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will --

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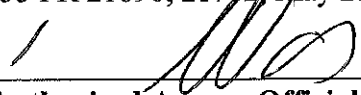
- (1) Abide by the terms of the statement; and
- (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
- (e) Notifying the agency in writing, within ten calendar days after 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

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.

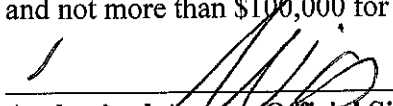
(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this 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