

# LIHEAP Detailed Model Plan: Addressing Common Issues and Questions for Tribal and Territory Grantees

Training & Technical Assistance Webinar  
March 29, 2012



U.S. Department of Health and Human Services  
Administration for Children & Families  
Office of Community Services  
Division of Energy Assistance

# Agenda

- New regional liaison assignments
- Tribal staff turnover
- Review of selected model plan questions
- Mini administrative costs tutorial
- Mini carryover report tutorial



# New Regional Liaison Assignments

- Regions I, IV, and X  
Trudy Hairston  
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- Regions III, V, and VI  
Rosa Chapman  
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- Regions II and VIII  
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# Staff Turnover

- Please inform HHS staff of any turnover in staff at the office administering the LIHEAP program for your Tribe or territory
  - Email
  - Fax
  - Phone
  - Mail



# Detailed Model Plan



# Dates of Operation (pg. 7)

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)

heating assistance

11/01/2012 – 03/31/2013

cooling assistance

crisis assistance

01/01/2013 – 03/15/2013

weatherization assistance

Template for Dates of Operation:  
MM/DD/YYYY – MM/DD/YYYY



# Funds Percentage Breakdown (pg. 7)

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)

\_\_\_\_\_ % heating assistance

\_\_\_\_\_ % cooling assistance

\_\_\_\_\_ % crisis assistance

2605(k)(1) \_\_\_\_\_ % weatherization assistance → **Max 15% without waiver**

\_\_\_\_\_ % carryover to the following fiscal year → **Max 10%**

2605(b)(9) \_\_\_\_\_ % administrative and planning costs → **Max 10%\***

2605(b)(16) \_\_\_\_\_ % services to reduce home energy needs including needs assessment (assurance 16) → **Max 5%**

\_\_\_\_\_ % used to develop and implement leveraging activities (limited to the greater of 0.08% or \$35,000 for States, the greater of 2% or \$100 for territories, tribes and tribal organizations).

\_\_\_\_\_ **TOTAL → Must equal 100%**



\* See slides ###-### for an explanation of the exception to this rule. For tribes and territories.  
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# Maximum Eligibility Limits (pg. 8)

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

➔ What are your maximum eligibility limits?  
(Please check the components to which they apply.)  
Current year guidelines must be used.

(eligibility)

\_\_\_\_\_ 150% of the poverty guidelines:  
heating \_\_\_\_\_ cooling \_\_\_\_\_ crisis \_\_\_\_\_ wx \_\_\_\_\_

**X** \_\_\_\_\_ 125% of the poverty guidelines:  
heating **X** cooling **X** crisis **X** wx **X**

\_\_\_\_\_ 110% of the poverty guidelines:  
heating \_\_\_\_\_ cooling \_\_\_\_\_ crisis \_\_\_\_\_ wx \_\_\_\_\_

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

\_\_\_\_\_ Other (specify for each component)

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Make sure all applicable programs are checked.



# Categorical Eligibility (pg. 8)

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

## **This is Optional**

If one person in the client's household receives one of these benefits, the client is automatically qualified for LIHEAP and you **DO NOT** collect income information for that household.



# No Difference in Treatment (pg. 14)

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)

- Emphasis on equal treatment
- All processes, procedures, and benefits levels are the same for all LIHEAP clients
  - Except if allowing automatic eligibility based on participation in certain assistance programs.



# Determination of Benefits (pgs. 15 & 16)

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

**All three must be checked**

**At least one must be checked**

- fuel type
- climate/region
- individual bill
- dwelling type
- energy burden  
(% of income spent on home energy)
- energy need
- other (describe)



# Benefits Levels (pgs. 15 & 16)

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.

Highest benefits  
for those with:

- Lowest income

AND

- Highest energy costs

OR

- Highest needs



# Payment Matrix

- A payment matrix is a chart on which all of the required factors--income, energy costs (usually represented by fuel types), energy needs, and family size--are listed.



# Sample Payment Matrix

Household Size:								Poverty Level	FO, Kero		Natural	
1	2	3	4	5	6	7	8		Propane	Electric	Gas	Others
\$2,707.50	\$3,642.50	\$4,577.50	\$5,512.50	\$6,447.50	\$7,382.50	\$8,317.50	\$9,252.50	Up to 25%	\$750	\$600	\$550	\$510
\$5,415.00	\$7,285.00	\$9,155.00	\$11,025.00	\$12,895.00	\$14,765.00	\$16,635.00	\$18,505.00	Over 25% to 50%	\$725	\$570	\$525	\$480
\$8,122.50	\$10,927.50	\$13,732.50	\$16,537.50	\$19,342.50	\$22,147.50	\$24,952.50	\$27,757.50	Over 50% to 75%	\$700	\$550	\$500	\$450
\$10,830.00	\$14,570.00	\$18,310.00	\$22,050.00	\$25,790.00	\$29,530.00	\$33,270.00	\$37,010.00	Over 75% to 100%	\$680	\$520	\$480	\$420
\$13,537.50	\$18,212.50	\$22,887.50	\$27,562.50	\$32,237.50	\$36,912.50	\$41,587.50	\$46,262.50	Over 100% to 125%	\$650	\$500	\$430	\$390
\$16,245.00	\$21,855.00	\$27,465.00	\$33,075.00	\$38,685.00	\$44,295.00	\$49,905.00	\$55,515.00	Over 125% to 150%	\$630	\$480	\$400	\$360
\$18,952.50	\$25,497.50	\$32,042.50	\$38,587.50	\$45,132.50	\$51,677.50	\$58,222.50	\$64,767.50	Over 150% to 175%	\$620	\$450	\$370	\$330
\$21,660.00	\$29,140.00	\$36,620.00	\$44,100.00	\$51,580.00	\$59,060.00	\$66,540.00	\$74,020.00	Over 175% to 200%	\$610	\$425	\$330	\$300

- See Section D of the Tribal Manual for detailed instructions on how to create a payment matrix.



# Crisis Component Maximum Benefit (pg. 17)

(benefit  
levels)

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

heating            \$ \_\_\_\_\_ maximum benefit

cooling            \$ \_\_\_\_\_ maximum benefit

year-round        \$ \_\_\_\_\_ maximum benefit

- Program Component Combinations
  - Heating alone **OR**
  - Cooling alone **OR**
  - Heating and Cooling **OR**
  - Year-round



# Local Agency Designation (pg. 19)

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

- (agency designation)
- 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 → **ALL tribal grantees select this option**
  - other, describe:

**ALL tribal grantees can ignore this section**

→ Have you changed local administering agencies from last year?

Yes  No

If Yes, please describe how you selected them.



# Public Participation vs. Public Hearing (pg. 23)

2605(b)(12)

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

(timely and meaningful public participation)

**Public participation is REQUIRED for Tribes and territories**

- How did you obtain input from your tribal members in the development of the LIHEAP plan?



# Public Participation vs. Public Hearing (pg. 23)

2605(a)(2)

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

Yes  No

(Not required for Tribes and tribal organizations)

(public  
hearings)

- Tribes → NOT required
- Territories → Required



# Right to a Fair Hearing (pg. 24)

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)

## → Denials

1. Describe fair hearing procedures for Denials.
2. All applicants must be notified of the right to a hearing at the time of application.

## → Applications Not Acted On In a Timely Manner

1. Describe fair hearing procedures for Applications not Acted On in a Timely Manner.
2. All applicants must be notified of the right to a hearing at the time of application.



# Calculating Administrative Costs Cap Maximum and Percentage



# Administrative Costs

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)

\_\_\_\_\_ % heating assistance

\_\_\_\_\_ % cooling assistance

\_\_\_\_\_ % crisis assistance

2605(k)(1)

\_\_\_\_\_ % weatherization assistance

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

2605(b)(9)

\_\_\_\_\_ % administrative and planning costs

→ **Max** ~~X~~ %

2605(b)(16)

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

\_\_\_\_\_ % used to develop and implement leveraging activities (limited to the greater of 0.08% or \$35,000 for States, the greater of 2% or \$100 for territories, tribes and tribal organizations).

\_\_\_\_\_ **TOTAL**

**Administrative costs maximum can be greater than 10% for Tribes and territories**



# Administrative Costs Cap Maximum

- If LIHEAP allotment is more than \$20,000, the administrative costs maximum is:

**\$4,000**

**PLUS**

**10% of (total allotment MINUS \$20,000)**



# Administrative Costs – Cap Maximum Calculation

## EXAMPLE I

**Total LIHEAP allotment of \$100,000**

- First \$4,000 \$4,000
- Remaining allotment = \$80,000 +
  - \$100,000 - \$20,000
- 10% of \$80,000 is: \$8,000
  - $0.10 * \$80,000 = \$8,000$  =
- Total administrative cost cap: \$12,000



# Administrative Costs – Cap Percentage Calculation

## EXAMPLE I

- Ask: What percentage of the total allotment is the administrative cost maximum?

Admin. Cost Max		Total Allotment	
\$12,000	÷	\$100,000	= 0.12

- Percentage = 12%
  - $0.12 * 100 = 12\%$



# Administrative Costs Percentage in LIHEAP Plan

## EXAMPLE I

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)

\_\_\_\_\_ % heating assistance

\_\_\_\_\_ % cooling assistance

\_\_\_\_\_ % crisis assistance

2605(k)(1)

\_\_\_\_\_ % weatherization assistance

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

2605(b)(9)

**12%** % administrative and planning costs

2605(b)(16)

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

\_\_\_\_\_ % used to develop and implement leveraging activities (limited to the greater of 0.08% or \$35,000 for States, the greater of 2% or \$100 for territories, tribes and tribal organizations).

\_\_\_\_\_ **TOTAL** → **Must equal 100%**



# Administrative Cap - **EXCEPTION**

- If LIHEAP allotment is \$20,000 or less
  - Admin costs maximum is 20% (up to \$4,000).

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)

\_\_\_\_\_ % heating assistance

\_\_\_\_\_ % cooling assistance

\_\_\_\_\_ % crisis assistance

2605(k)(1) \_\_\_\_\_ % weatherization assistance

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

2605(b)(9) **20%** administrative and planning costs

2605(b)(16) \_\_\_\_\_ % services to reduce home energy needs including needs assessment (assurance 16)

\_\_\_\_\_ % used to develop and implement leveraging activities (limited to the greater of 0.08% or \$35,000 for States, the greater of 2% or \$100 for territories, tribes and tribal organizations).

\_\_\_\_\_ **TOTAL → Must equal 100%**



# Carryover Report Calculations



# Carryover Funds

- Policy
  - 90% of funds allotted must be obligated within the same federal fiscal year.
  - 10% of funds can be carried over into the next federal fiscal year
- Federal Fiscal Year (FFY) – Oct. 1 – Sep. 30
- FFY 2012 began on October 1, 2011 and will end September 30, 2012



# Carryover Funds (cont.)

## EXAMPLE 2

- Tribe A is allotted \$150,000 on Nov. 15, 2011
  - Nov. 15, 2011 is in FFY 2012
  - FFY 2012 ends on September 30, 2012
- Tribe A must obligate **90%** of its total allotment by the end of FFY 2012: **Sep. 30, 2012**
  - $0.90 * \$150,000 = \$135,000$
- Tribe A can carry over up to **10%** of its allotment for use in FFY 2013
  - $\$150,000 - \$135,000 = \$15,000$
  - Must be obligated by **September 30, 2013**



# Filling out the Carryover Report

- Step 1: add up all funds received in FFY 2011

## EXAMPLE 3

◦ Regular block grant funds	----->	\$100,000
◦ Leveraging funds	----->	\$7,000
◦ Emergency/contingency funds	----->	\$5,000
◦ Oil overcharge funds	----->	\$0
◦ Reallotment funds	----->	\$1,200
	<b>+</b>	<hr/>

**\$113,200**

1) Current year amount payable (regular block grant funds, contingency funds, and oil overcharge funds)

\$ \_\_\_\_\_



# Filling out the Carryover Report (cont.)

- Step 2: figure out 10% of funds received in FFY 2011

- $\$113,200 \times 0.10 = \$11,320$

2) 10 percent of amount payable

\$ \_\_\_\_\_



# Filling out the Carryover Report (cont.)

- Step 3: project unobligated balance as of Sep. 30, 2012
  - How much funding will be left over on October 1<sup>st</sup> that has not been spent or earmarked for client applications that were approved prior to October 1<sup>st</sup>.
- Let's say **\$12,000**, as an example.

3) Projected unobligated balance

\$ \_\_\_\_\_



# Filling out the Carryover Report (cont.)

- Step 4: ask, “Which is less?”

◦ **A:** Projected unobligated funds -----> \$12,000

**OR**

◦ **B:** 10% of total funds received -----> \$11,320

          
\$680

If **A** is less

If **B** is less

A = carryover

B = carryover

A - B = reallocation amount

**Carryover amount**

(Funds to be carried over for obligation in the following fiscal year.)

\$ \$11,320

**Reallocation amount**

(Funds that exceed the 10% carryover amount and are to be returned the Federal government.)

\$ \$680



# Questions

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