



## LIHEAP Reporting Requirements

### Resources for LIHEAP Reporting Requirements

LIHEAP grantees are required to submit reports each fiscal year. Every state, tribe and territory must submit an application to receive LIHEAP funds, report any carryover or reallocation funds, report the number of households that received LIHEAP assistance, and report on the obligation of their LIHEAP grant.

- ◆ Office of Community Services, Action Transmittals, [www.acf.hhs.gov/programs/ocs/resource/liheap-action-transmittals](http://www.acf.hhs.gov/programs/ocs/resource/liheap-action-transmittals)
- ◆ Office of Community Services, Webinars, [www.acf.hhs.gov/programs/ocs/resource/liheap-trainings](http://www.acf.hhs.gov/programs/ocs/resource/liheap-trainings)
- ◆ Office of Community Services, Training Resources, [www.acf.hhs.gov/programs/ocs/resource/liheap-trainings](http://www.acf.hhs.gov/programs/ocs/resource/liheap-trainings)

The Department of Health and Human Services (HHS) requires LIHEAP grantees to submit all reports using the [On-Line Data Collection \(OLDC\) system](#). Grantees may revise reports at any time and resubmit the updated report in OLDC. For assistance with the OLDC, please contact the OLDC helpdesk at 1-866-577-0771 or your [LIHEAP regional liaison](#).

*The following resources require login, please contact [marisal@ncat.org](mailto:marisal@ncat.org) if you need assistance.*

Reports discussed in this issue brief are listed in the table below along with their annual due date. The table also notes the Federal Fiscal Year (FFY) that each report's data represents.

Required Reports	Annual Due Date
LIHEAP Plan	September 1 (Next FFY)
Household Report	September 1 (Preliminary, Current FFY) December 15 (Final, Previous FFY)
Carryover & Reallotment	August 1 (Current FFY)
SF-425	December 31 (Previous FFY)
Performance Data Form	January 30 (Previous FFY)

- ◆ Completing the Household Report, <https://liheapm.acf.hhs.gov/pm-webinars>
- ◆ Completing the LIHEAP Performance Data Form, <https://liheapm.acf.hhs.gov/pm-webinars>
- ◆ LIHEAP Regional Training – 2016, <https://liheapm.acf.hhs.gov/national-training-2016>
- ◆ LIHEAP National Training – 2015, <https://liheapm.acf.hhs.gov/national-training-2015>

### LIHEAP Plan

LIHEAP Statute [Sections 2605\(a\)\(1\) and \(c\)\(1\)](#) require every grantee to submit an annual LIHEAP Plan in order to receive LIHEAP funds. The Plan is due September 1, and any revisions or missing information must be submitted by December 15 to complete the Plan.

In the LIHEAP Plan, grantees describe how they will carry out each of the [16 assurances](#). Assurance 15 only applies to (1) states; and (2) territories whose LIHEAP grants are \$200,000 or greater. Standard Form (SF)-424 is included in the LIHEAP plan and mandates that the assurances are signed electronically by the State Governor, Tribal Chairper-

son, or a person that is delegated authority to sign the assurances.

For more information, view the latest [Action Transmittal](#) on the Office of Community Services (OCS) website that describes the LIHEAP Plan application. The following webinars provide more information about the Plan and SF-424 and can be found at the OCS [web-site](#).

- ◆ Utilizing Data to Develop your State Plan
- ◆ Creating a LIHEAP Model Plan
- ◆ The Standard Form 424

## Household Report

All grantees are required to submit a Household Report, in compliance with LIHEAP Statute Sections [2605\(c\)\(1\)\(G\)](#) and [2610\(b\)](#). All state grantees and any territory grantees whose LIHEAP grants are \$200,000 or greater must file the long form of the Report; tribes and tribal organizations are required to complete the short form of the Household Report. The Household Report is due September 1 and has data for the current federal fiscal year. For example, the report that is due September 1, 2016 contains data from October 1, 2015 - September 30, 2016.

This report filed by September 1 may contain preliminary or estimated counts of households since a grantee's program may not have ended. The report, whether it contains estimated or actual counts of household data, must be received before a grant award can be issued for the next fiscal year that starts October 1. The final Household Report with final household counts for the previous fiscal year is due December 15.

### Resources:

- ◆ [OCS Action Transmittals](#)
- ◆ [OCS LIHEAP Training Resources](#)
- ◆ OCS Webinar, [Completing the Household Report Long Form](#)
- ◆ [APPRISE](#) is available to assist state grantees with collecting and reporting

data on the Household Report Long Form.

## Carryover and Reallotment Report

All grantees are required to complete the Carryover and Reallotment Report that is due August 1. According to the LIHEAP Statute ([Section 2607](#)), a grantee will not receive its next fiscal year grant until it has submitted its Carryover and Reallotment Report for the current fiscal year. This report must be submitted even if a grantee is not carrying funds over to the next fiscal year.

Grantees must obligate 90 percent of their payable funds in the fiscal year in which they are awarded. Payable funds include regular block grant and, unless HHS authorizes an exception, any emergency contingency funds, reallotted funds, or oil overcharge funds received that same year. The maximum amount of carryover funds is 10 percent. Since the Carryover Report is due August 1, the report may be an estimate of unobligated funds. If the estimated amount of unobligated funds has changed by the end of the Federal Fiscal Year, the grantee will need to submit a revised Carryover and Reallotment Report.

If more than 10 percent of a grantee's funds are unobligated at the end of the FFY (September 30), the grantee must return the excess funds to OCS. These funds may be reallotted at all grantees the following fiscal year.

### Resources:

- ◆ [OCS Action Transmittals](#)
- ◆ 2015 National Conference, [Obligation of Funds and Carryover](#)

## Standard Form-425

December 31 is the due date for Standard Form 425, the Federal Financial Report. As required in HHS block grant regulations ([45 CFR 96.30\(b\)](#)), all grantees must submit SF-425 to report the amount of funds that were obligated and/or expended the previous FFY. For example, all funds that were obligated or spent in FFY

2016 (October 1, 2015 – September 30, 2016) must be reported by December 31, 2016.

Separate reports are submitted for different types of funds that the grantee received. All grantees must file a report for their LIHEAP block grant funds. Separate reports must be filed if a grantee has carryover funds, Leveraging Incentive Program funds, or Residential Energy Assistance Challenge Program (REACH) funds.

#### Resources:

- ◆ [OCS Action Transmittals](#)

### Performance Data Form

State grantees are required to submit the Performance Data Form. The Form has three sections: the Grantee Survey, LIHEAP Performance Measures, and Optional Measures. All state grantees are required to submit the Grantee Survey and LIHEAP Performance Measures sections by January 30, 2017. The data reported is for FFY 2016.

In the Grantee Survey section, state grantees report on the estimated sources and uses of LIHEAP funds; average benefits for heating, cooling and crisis; and what the maximum income level is for a four-person household that receives each type of assistance.

Starting in January 2017, the Performance Measures section of the Data Performance Form is required. The first year for this required reporting starts with data collected in FFY 2016 that describes energy burden targeting, restoration of home energy service, and preventing the loss of home energy service.

In addition to the LIHEAP Performance Measures, the Optional Measures sections report usage data for electricity and main heating fuel, along with the number of households that use supplemental heating fuels and air conditioning.

#### Resources:

- ◆ [OCS Action Transmittals](#)
- ◆ OCS Webinar, [PM Data Collection and supplemental documents](#)
- ◆ OCS Webinar, [Completing the LIHEAP Performance Data Form](#)
- ◆ [Performance Measures Data Collection Guide](#)
- ◆ [APPRISE](#) is available to assist state grantees with collecting and reporting data on the Performance Data Form

### Summary

This is a brief overview of the reports that grantees are required to submit during the program year. Reports can be revised and resubmitted at any time during the year in OLDC. It is important to know that data in these reports are related and cross-checked for consistency. Please refer to this issue brief, [Checking LIHEAP Data Across Multiple Reports](#), which describes how data in these reports are related.

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