Instructions for the LIHEAP Performance Data Form for FY 2014

Introduction

There are two main sections of the LIHEAP Performance Data Form. The Grantee Survey section of the form will be available for Grantee data collection beginning in Federal Fiscal Year (FY) 2014. The Performance Measures Report section of the form is available for Grantee data collection as of December 31, 2014. State LIHEAP grantees must submit the Grantee Survey section of the LIHEAP *Performance Data Form* by January 30, 2015 and are encouraged to complete and submit available data for Sections V, VI, VII, and VIII which collect data on energy burden targeting, restoration of home energy service, and prevention of loss of home energy service. These sections are **optional** for grantees to complete by January 2016 using FY 2015 data. State LIHEAP grantees using FY 2016 data, will be **required** to complete these sections by January 2017 as sufficient time was available to build systems and capabilities to collect the necessary data starting October 1, 2015.

Grantee Survey Section Instructions

The Paperwork Reduction Act of 1995

This information collection is conducted in accordance with the LIHEAP statute (Title XXVI of P.L. 97-35, as amended). Responses to the information collection are **mandatory** for the States, including the District of Columbia. Information received from this part of the Form provides Congress with aggregated and state-specific data on States' financial decision making in administering the LIHEAP program. Information received from this collection is also responsive to Section 2610(b)(2) of the statute, which requires the Secretary to provide for the collection of data on program impact. The burden per State for the Grantee Survey section is estimated to be 3.4 hours. Fifty-one (51) State responses per Grantee Survey section, at an average of 3.4 hours per response, results in a total burden of 173.4 hours for all States. The estimates of burden hours include time for reviewing instructions, gathering data, and completing and submitting the Grantee Survey section data. The Grantee Survey section of the Performance Data Form is conducted once every Federal Fiscal Year (FY). The Grantee Survey section information is not considered confidential; therefore, no additional safeguards are considered necessary beyond that customarily applied to routine government information. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information that does not display a current and valid OMB control number. (The OMB control number for this information collection is (0970-0449) and the Expiration Date is 10/31/2017.)

General Instructions

The *LIHEAP Grantee Survey Section* is designed to obtain fiscal data from the 50 States and the District of Columbia on the sources and uses of LIHEAP funds, average household benefits, and maximum income cutoffs for a 4-person household for FY 2014. Please note that the Grantee Survey asks for the State's **obligation** of funds, not **expenditure** of funds. The term **"obligation" is as each State defines it.**

Pre-populated Information

In the On-line Data Collection (OLDC) system, your State's FY 2014 Federal block grant allotments (net of Indian Tribal set-asides), FY 2014 emergency contingency funds (net of Indian Tribal set-asides), re-allotted FY 2013 block grant funds in FY 2014, FY 2014 Residential Energy Assistance Challenge (**R.E.A.Ch.**) awards, and FY 2014 leveraging incentive awards, if any, are listed in **items 1, 2, 3, 8, and 9** under "Estimated Sources of LIHEAP Funds" in Section III of the Grantee Survey. The amount of these funds should be correct as those

amounts are reported by OCS. If you believe that these source values are incorrect, please contact your OCS liaison.

Update the following pre-populated data, as necessary, in your State's *LIHEAP Grantee Survey Section*:

1. Your State's carryover of FY 2013 LIHEAP Emergency Contingency funds to FY 2014, if any, for item 4 under "Estimated Sources of Funds" in Section III, as reported in your State's Grantee Survey for FY 2013 under "Estimated Uses of Funds" for item B.8
2. Your State's carryover of FY 2013 LIHEAP Leveraging Incentive funds to FY2014, if any, for item 10 under "Estimated Sources of Funds" in Section III, as reported in your State's Grantee Survey for FY 2013 under "Estimated Uses of Funds" for item B.7
3. Your State's carryover of FY 2013 LIHEAP funds to FY 2014, if any, for item 6 under "Estimated Sources of Funds" in Section III, as reported in your State's LIHEAP Grantee Survey for FY 2013 under "Estimated Uses of Funds" for item B.5.
4. Your State's carryover of FY 2014 LIHEAP funds to FY 2015, if any, for item 7 under "Estimated Uses of Funds" in Section IV, as reported in your State's FY 2014 LIHEAP Carryover and Reallotment Report that was due on August 1, 2014.

Pointers

1. "Uses of Funds" represent a State's obligation of LIHEAP funds, **not expenditure of LIHEAP funds**. In some cases, obligated block grant funds are not actually expended until after the end of the Federal Fiscal Year.
2. Include funds used to provide "other LIHEAP assistance." For the most part, this would include LIHEAP funds used to provide "other crisis assistance," such as furnace or air conditioner repairs or replacements.
3. Report on all funds obligated for 'Other permitted uses of LIHEAP funds.' This would include funds used to provide Supplemental Nutrition Assistance Program (SNAP) households with a nominal LIHEAP payment to increase the amount of SNAP benefits that they receive. Typically, such payments are called "heat or eat" and/or "cool or eat." Report these obligations in Section IV, B. 6 of the Form.
4. Exclude Department of Energy weatherization assistance funds in response to the LIHEAP weatherization assistance in Section IV, A. 4.
5. Use the annual or annualized maximum income cutoff for a 4-person household in effect on October 1, 2013 for each type of LIHEAP assistance provided in FY 2014.
6. Except for administrative costs, "funds payable" includes the State's net block allotment and realloted funds, and, if any, Petroleum Violation Escrow funds designated for LIHEAP. "Funds payable" for administrative costs consists of those funds and leveraging incentive funds obligated in FY 2014, if any.
7. Unless indicated otherwise, definitions of terms should be those used by the State.
8. Average Household Benefits should take into account all types of benefits under each type of assistance.

NOTE: The rounding function of OLDC will show whole dollars on the form. However, cents may be included in the cells. Please type in the rounded whole dollar without cents in such cases. Otherwise, your Survey's sources and uses of funds may not be equal.

1. Any clarifications of a State's response should be indicated in the "Notes" section of the Survey form along with the Survey's Section and item number that is being noted.

SECTION I INSTRUCTIONS: Grantee Information

Please enter the full name and telephone number (including area code) of the person who is completing the Survey.

SECTION III INSTRUCTIONS: Estimated Sources of LIHEAP Funds

The Survey is individualized for your State with pre-populated data. If you believe that the Federal data on the State's block grant allotment, reallotment, and/or leveraging incentive award, if any, are incorrect, please contact your OCS liaison.

A. All Funds Except Leveraging Incentive Awards. (Items 1-8)

1. **FY Block Grant Allotment**. State's FY 2014 LIHEAP block grant allotment, net of any applicable set-asides to Indian Tribes/Tribal Organizations. (**pre-populated & locked**)
2. **FY Emergency Contingency Funds.** State's FY 2014 LIHEAP emergency contingency funds, net of any applicable set-asides to Indian Tribes/Tribal Organizations. (**pre-populated & locked**)
3. **Block Grant Funds Realloted to FY**. State's FY 2014 LIHEAP block grant reallottment, net of any applicable set-asides to Indian Tribes/Tribal Organizations. (**pre-populated & locked**)
4. **Previous FY Unobligated Emergency Contingency Funds.** State's FY 2013 Emergency Contingency Funds obligated in FY 2014, if any. (**pre-populated and available for editing**)
5. **Reserved.**
6. **All Funds Carried Over from Previous FY.** State's FY 2013 unobligated block grant funds, not subject to the 10 percent carryover limit. (**pre-populated and available for editing**)
7. **Petroleum Violation Escrow (Oil Overcharge) Funds Obligated in FY**. The Secretary of Energy distributed these funds in the 1980s as "Warner amendment," Exxon, and Stripper Well funds or other oil overcharge distributions such as Diamond Shamrock or AMOCO. Such funds are considered to be Federal LIHEAP funds once designated by a State LIHEAP grantee for LIHEAP.
8. **FY Residential Energy Assistance Challenge (R.E.A.Ch) Program.** State's FY 2014 Residential Energy Assistance Challenge Program award funds, if any. (**pre-populated & locked**)

B. Leveraging Incentive Award. (Items 9-10)

9. **FY Leveraging Incentive Award.** State's FY 2014 leveraging incentive award funds obligated in the next Federal Fiscal Year, if any. **(pre-populated & locked)**
10. **Previous FY Leveraging Incentive Award obligated in FY**. State's unobligated FY 2013 leveraging incentive award funds, if any, that were obligated in FY 2014. **(pre-populated and available for editing)**

C. Estimated Total Sources of Funds (Items 1-10)

11. **Sum of Items 1-10**. Sum items to indicate the total Federal funds available for LIHEAP for FY 2014. The total funds available should equal the Estimated Total Uses of Funds in item 15 under Column A of Section IV.

SECTION IV INSTRUCTIONS: Estimated Uses of LIHEAP Funds

"Estimated Uses of LIHEAP Funds" represent a State's **obligation,** not expenditure, of funds. (In some cases, obligated LIHEAP funds are not actually expended until after the end of the FY.) Include information on all funds/awards that were obligated for use in LIHEAP during FY 2014 or that were obligated in or carried over to

FY 2015. LIHEAP block grant funds that were not obligated by the end of FY 2014 are to be reported as funds carried over to FY 2015.

NOTE: The term "obligation" is as each State defines it. The obligation of LIHEAP funds is based on a State's budgetary planning process, and may change over the FY. Expenditure of funds represents the funds paid out for LIHEAP, and is reconciled when a State closes out its LIHEAP program for each FY in accordance with the Single Audit Act (2 CFR §200.500). Please keep in mind the following points about the use of LIHEAP Federal funds when completing Section IV:

1. Block grant allotments may only be used for purposes specified in the LIHEAP statute (Low-Income Home Energy Assistance Act, Title XXVI of Public Law 97-35, as amended) and in the HHS block grant regulations (45 CFR 96).
2. States may receive a waiver, if requested, from HHS to use up to 25 percent of the funds for weatherization assistance.
3. A State may have used LIHEAP funds to provide "other LIHEAP assistance" as described in its State's LIHEAP Plan for FY 2014. For the most part, this would include "other crisis assistance," such as furnace or air conditioner repairs. Such information would be included in items 3d. under "Crisis Benefits by Type" (item A.3).
4. Other LIHEAP funds may have been used for non-crisis assistance/regular benefits, e.g., Supplemental Nutrition Assistance Program (SNAP) households that were provided a nominal LIHEAP payment to increase the amount of SNAP benefits that they received (commonly referred to as heat or eat, or cool or eat programs). Report these obligations in Section IV, B. 6 of the Form. A corresponding note would also need to be included in the *LHEAP Household Report for FY 2014*.

Row Items

A. Type of LIHEAP Assistance (items 1-4)

1. **Heating Assistance Benefits**. Indicate the amount of funds used to provide heating assistance benefits. Exclude the cost of administering the heating assistance component. If applicable, include a note that indicates if the benefits include funds for other non-crisis assistance (please describe such assistance).
2. **Cooling Assistance Benefits**. Indicate the amount of funds used to provide cooling assistance benefits, if any. Exclude the cost of administering the cooling assistance component. If applicable, include a note that indicates if the benefits include funds for other non-crisis assistance (please describe such assistance).
3. **Crisis Assistance Benefits by Type**. In this section, indicate the total amount of crisis assistance benefits broken out by each applicable type of crisis assistance listed: winter crisis, summer crisis, year-round crisis (i.e., crisis programs that operate 10-12 months during the FY), and other crisis benefits (such as responses to area-wide weather and supply-shortage emergencies declared by a public official, an emergency furnace repair/replacement program that is separate from the regular winter crisis assistance program, etc). If applicable, briefly describe the "other" category, e.g., emergency furnace repairs. Exclude the cost of administering the crisis assistance component.
4. **Weatherization Assistance Benefits**. Indicate the amount of funds used for low-cost residential weatherization or other-energy-related home repairs, if any. In the past, some grantees have reported LIHEAP and Department of Energy weatherization funds together. Report only on LIHEAP funds. If

applicable, include a note that indicates if the benefits include funds for other non-crisis assistance (please describe such assistance). Exclude the cost of administering the LIHEAP weatherization assistance component.

NOTE: Section 2605(k) of the LIHEAP statute limits the amount of LIHEAP funds that may be spent on low-cost weatherization or other energy-related home repair to 15 percent of the greater of the funds allotted or the funds available to a State. Under certain conditions, HHS may grant a waiver that raises this limit to 25 percent. Please include a note in the "Notes" portion of the form to indicate whether the State received such a waiver from HHS for weatherization for FY 2014.

The use of leveraging funds for weatherization does not count towards the 15 percent/25 percent limit on the use of LIHEAP funds for weatherization. Please include a note in the "Notes" portion of the form to indicate whether the State obligated leveraging incentive funds for weatherization.

5. **Average Annual Total LIHEAP Benefit per Household (including Heating, Cooling, Crisis, Supplemental Benefits).** Report for all households with 12 consecutive months of bill data for both the main fuel and electricity. Do not include equipment repair and replacement or weatherization assistance. This data should only reflect financial bill payment assistance. This data field is optional for grantees to complete in FY 2014.

B. Other Permitted Uses of LIHEAP Funds (items 6-14)

6. **Nominal Payments.** The total nominal LIHEAP benefits obligated in FY 2014 on behalf of approved households.
7. **FY Funds Carried Over to next FY**. This amount has been pre-populated from the amount reported on your State's *August 1, 2014 LIHEAP Carryover and Reallotment Report for FY 2014*. Please update this amount as necessary. (**pre-populated and available for editing**)

NOTE: Section 2607(b)(2)(B) of the LIHEAP statute limits to 10 percent of the amount of "all funds except leveraging incentive awards" that may be carried over from one FY for obligation in the following FY. The statute requires that 90 percent of the amount payable must be obligated in the FY in which the funds are awarded.

8. **FY Allowable Unobligated Emergency Contingency Funds, not Subject to 10% carryover limit, Obligated in next FY.** Indicate FY 2014 emergency contingency award funds obligated in FY 2015, if any.
9. **FY Leveraging Incentive Award Obligated in next FY**. Indicate FY 2014 leveraging incentive award funds obligated in FY 2015, if any.

NOTE: Section 96.87(k) of the HHS block grant regulations provides that leveraging incentive award funds must be obligated in the FY in which they are awarded or in the following FY.

10. **Reserved (Not applicable).**
11. **FY LIHEAP Block Grant Allotment Used to Identify, Develop, and Demonstrate Leveraging Activities.** Indicate the amount of the State's FY 2014 LIHEAP block grant allotment that was used, if any, to identify, develop, and demonstrate leveraging activities.

NOTE: Section 2607A(c)(2) of the LIHEAP statute limits the amount that States may spend to identify, develop and demonstrate leveraging programs to not exceed 0.08 percent of funds payable or $35,000, whichever is greater.

12. **Assurance 16 Activities**. Indicate the amount, if any, of the FY2014 LIHEAP block grant allotment used to carry out "Assurance 16 activities", i.e., services that encourage and enable households to reduce their home energy needs and thereby the need for energy assistance (including needs assessment, counseling, and assistance with energy vendors).

NOTE: Section 2605(b)(16) of the LIHEAP statute limits the amount that may be spent on these activities to 5 percent of LIHEAP funds payable.

13. **FY Residential Energy Assistance Challenge (R.E.A.Ch.) Program.** Report total **R.E.A.Ch.** funds obligated in FY 2014, if applicable.

NOTE: R.E.A.Ch. **grants are not issued every year or to every LIHEAP grantee; therefore, many grantees will not have any** R.E.A.Ch. **grant funds.**

14. **Administration/Planning Costs**. Indicate the amount of FY2014 funds obligated for administration and planning costs. The amount should include (a) all State and local administration and planning costs, and (b) both direct and indirect costs charged as administration and planning costs for the program. Information Technology (IT) expenditures should be included in Administration/Planning costs. If Administration/Planning costs exceed 10% because of this inclusion, it is acceptable for the State to include a note in the Grantee Survey form that LIHEAP IM 2000-12 allows such a scenario.

NOTE: Section 2605(b)(9) of the LIHEAP statute limits the amount that States use in planning and administration to 10 percent of the funds payable to the States. All amounts above 10 percent must come from non-Federal funds, except that other Federal funds may be used to pay the costs of planning and administering Assurance 16 activities without regard to the 10 percent limit (exclude other Federal funds).

NOTE: The cost of administering the State's LIHEAP weatherization assistance is to be included, as well as the cost of administering other LIHEAP activities.

NOTE: Under the terms of the LIHEAP statute and implementing regulations, leveraging incentive award funds may not be used for administrative and planning costs. The amount of the leveraging incentive award may be added to the base in which the maximum amount of administrative and planning costs is calculated.

C. Estimated Total Uses of Funds. (Items 1-14)

15. **Sum of Items 1-14.** Sum items 1-14 to indicate the estimated total uses of all Federal funds available for LIHEAP for FY 2014. The “Estimated Total Uses of Funds” should equal the “Estimated Total Sources of Funds” in Section III.

Q1. Select the appropriate answer (‘yes’ or ‘no’) to indicate whether your State obligated funding for a given type of assistance in FY 2014, but will serve households in the subsequent FY. Please include clarifications in the “Notes” section of the form along with the Survey’s Section and item number that is being noted.

Q2. Select the appropriate answer (‘yes’ or ‘no’) to indicate whether your State’s Average Household Benefit data points are estimated due to unique program operation, rather than directly calculated. Please include

clarifications in the "Notes" section of the form along with the Survey's Section and item number that is being noted.

Column Items

I. Total Funds/Awards. Indicate the amount obligated for each type of assistance and the amounts for other **allowable** activities for FY 2014.

II. Average Household Benefit. Indicate the average benefit amount for households assisted during the entire FY for each type of assistance provided by the State. This is not requested for weatherization assistance because of the wide variety of allowable activities among the States. The average household benefit should take into account all types of benefits under each type of assistance.

III. Maximum Annual Dollar Income for 4-Person Household. For each type of assistance provided, list the maximum **annual** or **annualized dollar** income cutoff for a **4-person** household that was in effect at the beginning of FY 2014, i.e., October 1, 2013. If your State used a higher dollar income cutoff for a specific group of households (such as elderly households) and a lower dollar income cutoff for everyone else, report the lower of the two income cutoffs. Indicate in the "Notes" section what the higher income cutoff is and to which specific group(s) it applies.

NOTE: The maximum dollar income cutoff for a 4-person household is required by the statute to be at or above 110 percent of the 2013 HHS Poverty Guidelines, as of the beginning of FY 2014.

Survey Edit Checks

OLDC has built-in validations in the *LIHEAP Grantee Survey Section* to help grantees ensure that data submitted to our office is accurate. Once all data is entered and the Survey is validated in OLDC, state LIHEAP grantees will be notified of validation issues, if any. The OLDC system will not allow grantees to submit their LIHEAP Grantee Survey if it contains certain validation issues. There are two types of validations, 'Warnings' and 'Errors':

1. A '**Warning'** notifies the grantee of a possible inconsistency or mistake in the data. Grantees are encouraged to double check the fields described in the Warning to make sure all information is correct and include a note in the "Notes" section of the form to explain the inconsistency, if necessary. Grantees will be able to Certify and Submit the report without changing any data that led to a Warning.
2. An '**Error'** notifies the grantee of a mistake that must be corrected prior to the report being submitted to our office. OLDC will not allow a report to be Certified and Submitted until the Error has been addressed.

SAMPLE OF SECTION IV (ESTIMATED USES OF FUNDS) EDIT CHECKS	SURVEY ITEM
The maximum annual or annualized household income cutoff for a 4-person household is equal to or greater than 110 percent of the 2013 HHS Poverty Guidelines.	Col. III
Weatherization funds are no greater than 15 percent of funds payable unless your State indicates that the amount includes leveraging incentive funds or that your State has received a waiver to obligate up to 25 percent of funds payable.	A. 4
Carryover of unobligated funds is no greater than 10 percent of funds payable.	B. 7
Funds payable to identify, develop, and demonstrate leveraging programs are not to exceed 0.08 percent or $35,000, whichever is greater.	B. 11
Assurance 16 funds are no greater than 5 percent of funds payable.	B. 12
Administrative/planning cost is no greater than 10 percent of funds payable.	B. 14
“Estimated Total Sources of Funds” equals “Estimated Total Uses of Funds.”	C.15

Performance Measures Report Section Instructions

The Federal FY 2016 LIHEAP Performance Measures Report requires State LIHEAP grantees to report on the following LIHEAP outcomes:

- Reduction of Home Energy Burden
- Restoration of Home Energy Service
- Prevention of Loss of Home Energy Service

These measures and the reporting form were developed by OCS in collaboration with the LIHEAP Performance Measures Implementation Work Group.

This document outlines instructions and data requirements for each section of the report. Additional support materials can be found at: **https://liheappm.ncat.org/user.**

PART V. ENERGY BURDEN TARGETING

Energy burden is the percentage of household income spent on home energy costs. For example, high burden households are those that spend more of their income on home energy costs.

The link between energy burden and LIHEAP is important. Section 2605(b)(5) of the Low Income Home Energy Assistance Act of 1981 (42 U.S. C. §8624(b)(5)) requires LIHEAP grantees *"to provide, in a timely manner, that the highest level of energy assistance will be furnished to those households that have the lowest incomes and the highest energy costs or needs in relation to income, taking into account family size."* Home energy burden and the presence of a vulnerable household member are the two key priorities Congress intended for the distribution of LIHEAP assistance.

To understand the impacts of LIHEAP on household energy burden, the Performance Measures Report form uses information provided by grantees to evaluate LIHEAP impact on energy burden using the following indicators and measures:

- Change in Energy Burden (Pre-Post LIHEAP) Indicators
- Benefit Targeting Index
- Burden Reduction Targeting Index

The Change in Energy Burden (Indicators) tells us how LIHEAP reduces the percentage of income households spend on their energy bills. We know that low-income households have to make tough choices between paying their energy bills and other essential needs (food, prescriptions). Reducing the amount of income people spend on energy bills decreases the health and safety risks associated with these kinds of decisions.

The Benefit Targeting Index tells us whether high energy burden households receive higher LIHEAP benefits than average households. This is important because the LIHEAP Act requires grantees to provide the highest level of assistance to households with the highest energy burden (highest energy costs in relation to income and family size).

The Burden Reduction Targeting Index tells us whether high energy burden households have a larger share of their energy bill paid with LIHEAP than average households. Once again, the LIHEAP Act requires grantees to target the highest level of assistance to households with the highest energy costs in relation to income. This measure will help grantees identify whether they are effectively using benefits to reduce the percentage of income high burden households pay toward their energy bills.

Which Households should be counted in Part V?

Part V of the Performance Measure Report form counts those households who received LIHEAP bill payment assistance in FY 2016. "Bill payment assistance" includes any LIHEAP benefits used to pay a share of household energy bills, including utility deposits. This includes heating, cooling, crisis, and supplemental assistance.

Households that should **NOT** be counted in Part V include:

- Households receiving only LIHEAP weatherization assistance or energy-related home repair (e.g. heating or cooling equipment repair or replacement)

- Households that receive nominal benefits as part of a partnership with the Supplemental Nutrition Assistance Program (SNAP). This is often referred to as the "Heat or Eat" or "Cool or Heat" Program.

What Home Energy Data is needed to complete Part V?

Many of the fields in Part V require specific information regarding home energy. For example, average annual income and average LIHEAP benefit data is broken out by main heating fuel. Therefore, at the time of application, grantees will need to ask each household to identify their main heating fuel type (i.e., Natural Gas, Electricity, Fuel Oil, Propane, or Other Fuels).

Grantees who offer cooling programs should still ask households for their main heating fuel type, as most cooling program impacts will be captured during analysis of the electric bill data (see below).

Part V also requires grantees to collect average annual energy bills for both main heating fuel and electricity. Therefore, at the time of application, grantees will need to ask each household to provide vendor account numbers, as well as sign a waiver that allows the grantee to collect billing information from home energy vendors.

To reduce the burden associated with vendor data collection, grantees are only required to collect annual energy bill data from the top five natural gas companies, top five electric companies, top ten propane vendors, top ten fuel oil vendors, and top ten other vendors, based on the numbers of LIHEAP assisted households within their state

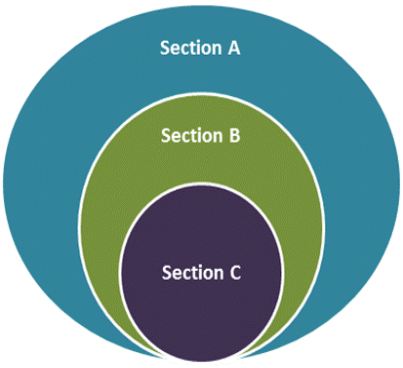
Grantees may opt to collect data from additional vendors (beyond the largest). However, any grantee wishing to use *less* than the required number of vendors in any of the fuel categories must contact OCS to obtain prior approval. (Note: Some grantees have fewer than five electric or natural gas vendors. Other grantees have fewer than ten fuel oil vendors.)

Part V Data Requirements

The following outlines the data required to complete Part V of the Performance Measures Report form. For more information, including strategies and best practices for data collection, grantees should visit the LIHEAP Performance Measures Website at: **https://liheappm.ncat.org/user**.

SECTION A

Section A includes all households who received LIHEAP bill payment assistance during the reporting period. This data is pre-populated from the Household Report form. Bill payment assistance includes any LIHEAP benefits used to pay a share of household energy bills. This includes heating, cooling, and crisis assistance.



Section A— **All Bill Payment Assisted Households**

Section B— **Bill Payment Assisted Households *with Available Energy Bill Data***

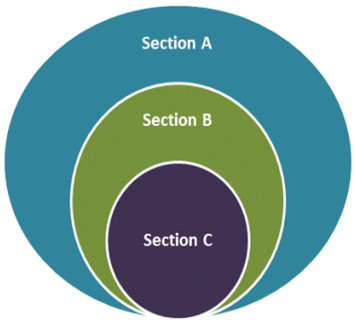
Section C— ***Highest Burden* Bill Payment Assisted Households with Available Energy Bill Data**

As stated above, Part V should not include those households who received only weatherization or energy related home repair (including equipment repair and replacement) or households who received only a nominal LIHEAP benefit through the SNAP "Heat or Eat" program.

Section A also asks Grantees to break Bill Payment Assisted Households out by Main Heating Fuel type. To obtain this data, grantees will need to ask each household to identify their main heating fuel type at the time of application.

SECTION B

Section B includes only those households from Section A for which the grantee can obtain the average annual energy bill (12 consecutive months of usage) for both main heating fuel and electricity.



Section A— **All Bill Payment Assisted Households**

Section B— **Bill Payment Assisted Households *with Available Energy Bill Data***

Section C— ***Highest Burden* Bill Payment Assisted Households with Available Energy Bill Data**

LIHEAP Bill payment assistance households that do not have complete energy billing data (e.g., because they do not have 12 consecutive months of billing history or the grantee does not have an agreement with the vendor) should not be counted in Section B.

As noted above, grantees are only required to collect annual bill data for those bill payment-assisted households whose main fuel and electricity are provided by a top five natural gas company, top five electric company, top ten propane vendor, top ten fuel oil vendor, or top ten "other" vendor, based on the numbers of LIHEAP assisted households within their state.

LINE B1: **Number of Households with Complete Bill Data.** Line B1 requires grantees to report the number of bill payment assisted households for which they can obtain the average annual energy bill (12 consecutive months of billing history) for both main heating fuel and electricity. Similar to other data in this report, grantees are first asked to report the total number of bill payment assisted households with complete annual bill data, and then break these households down by main heating fuel type.

LINE B2: **Average Annual Household Income:** Line B2 requires grantees to report average annual household income for those households with 12 consecutive months of both main fuel and electric bill data (as reported on Line B1). Average annual household income should be calculated in the same way it is calculated for the annual LIHEAP Household Report Form, using gross income. Zero income households should be included in this calculation. Grantees are asked to report the average annual income for all households with complete annual bill data, and then further break this data out by main fuel type.

LINE B3: **Average Annual Total LIHEAP Benefit per Household:** Line B3 requires grantees to report the total average annual per household LIHEAP Bill Payment Assistance Benefit(s) for those households with 12 consecutive months of both main fuel and electric bill data (as reported on Line B1). This should include any heating, cooling, crisis, and supplemental assistance used to help pay household energy bills (this includes utility deposits).

In some states, households received multiple bill payment assistance benefits during the program year. For example, a household may have received both a regular heating assistance benefit and a crisis benefit. *In these cases, grantees will first need to add together the bill payment assistance benefits each household received*, and then calculate the average total LIHEAP benefit per household.

Grantees are asked to report the average bill payment assistance benefit for all households with complete annual bill data, and then break this data out by main fuel type.

LINE B4: **Average Annual Main Heating Fuel Bill Data:** Line B4 requires grantees to report the average annual main heating fuel bill for those households who have 12 consecutive months of main fuel and electric bill data (as reported in B1). To report this data, grantees will need to collect complete annual bill information (12 consecutive months) from each bill payment-assisted household's main fuel vendor. This data includes all required customer payments, such as monthly service charge, usage charge, and taxes. However, expenditures should exclude optional charges such as appliance repair contracts, equipment purchases, and other special services.

There may be variation among grantee timeframes for collecting 12 consecutive months of billing histories. For example, many grantees find it optimal to collect bill data from vendors at the end of the program year (e.g., request made to vendors in October 2015 for customer bill data from October 2014 through September 2015). However, other grantees collect customer bill data from vendors at the time of LIHEAP intake—which may result in 12 consecutive

months of billing data that falls across more than one program year. States may consider alternative timeframes for obtaining 12 consecutive months of billing history, as long as methods are consistent and approved by OCS.

LINE B5: **Average Annual Electricity Bill:** Line B5 requires grantees to report the average annual electricity bill for those households who have 12 consecutive months of main fuel and electric bill data (as reported in B1). To report this data, the grantee will need to collect annual bill information (12 consecutive months) from each bill payment-assisted household's electricity vendor. This data includes all required customer payments, such as monthly service charge, usage charge, and taxes. However, expenditures should exclude optional charges such as appliance repair contracts, equipment purchases, and other special services. For households whose main fuel is electricity, only the electric bill will need to be collected.

The remaining fields in Section B are <u>auto-calculated</u> for the grantee based on the data entered above.

- **Total Annual Residential Energy Bill:** Line B6 automatically adds together the average annual Main Heating Fuel and Electricity bill data to calculate average annual residential energy bill.

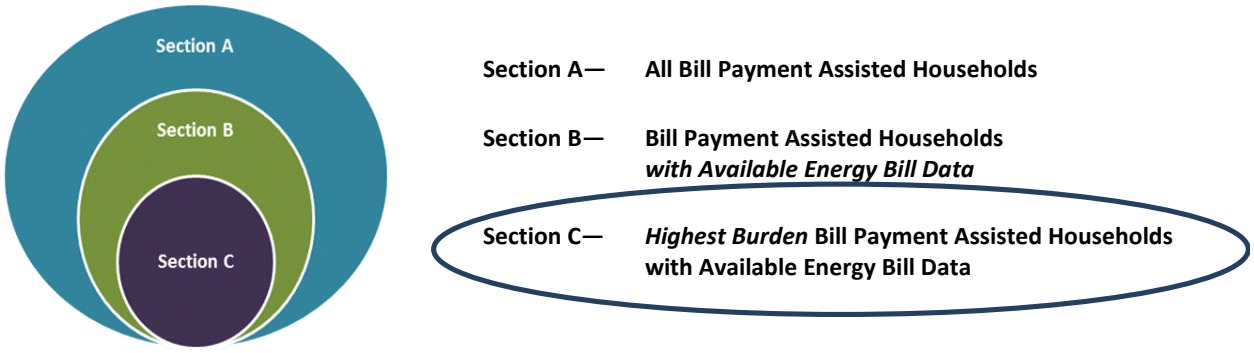
- **Average Annual Energy Burden before Receiving LIHEAP:** Line B7 automatically divides the average annual residential energy bill by the average annual income to calculate average annual energy burden before LIHEAP benefits were awarded.

- **Average Annual Energy Burden after Receiving LIHEAP:** Line B8 automatically subtracts the average annual LIHEAP benefit amount from the annual residential energy bill—then divides the adjusted annual energy bill by the average annual income to calculate energy burden *after* LIHEAP.

- **Percentage Point Change in Energy Burden:** Line B9 automatically calculates the percentage point difference between pre-LIHEAP and post-LIHEAP energy burden.

- **Percentage Reduction in Energy Burden:** Line B10 automatically calculates the percentage difference between pre-LIHEAP and post-LIHEAP energy burden as a proportion of pre-LIHEAP burden.

SECTION C



Section C contains the same data elements as Section B. However Section C only includes (highlights) those households from section B with the highest energy burden.

To pull out the highest burden households from Section B, grantees will first need to identify the home energy burden of each household reported in Section B. These households can then be sorted, and those with the top 25% energy burden are counted in Section C.

To calculate home energy burden for each household reported in Section B1, the grantee will need to use their database (or a spreadsheet tool like Excel or Access) to add together each household's Main Heating Bill + Annual Household Electricity Bill and divide by the household's Average Annual Income. Those households with the top 25% of energy burden will be reported in Section C. Grantees who need assistance with this step should contact APPRISE or their OCS Liaison for assistance.

LINE C1: **High Burden Households.** Line C1 asks grantees to report the number of high burden households with complete energy bill information, and then the number of high burden households by main heating fuel type.

LINE C2: **Average Annual Household Income for High Burden Households:** Line C2 asks grantees to report average annual household income for those high burden households identified on Line C1. Grantees are asked to report the average annual income for all high burden households, as well as the average annual income of high burden households within each main fuel type.

LINE C3: **Average Annual LIHEAP Bill Payment Assistance Benefit for High Burden Households:** Line C3 requires grantees to report average annual LIHEAP Benefit for those high burden households identified in line C1**.** Grantees are asked to report the average bill payment assistance benefit for all high burden households, as well as the average bill payment assistance benefit of high burden households within each fuel type.

LINE C4: **Average Annual Main Heating Fuel Bill Data for High Burden Households:** Line C4 requires grantees to report the average annual main heating fuel bill (12 consecutive months) for those high burden households identified in Line C1.

LINE C5: **Average Annual Electricity Bill for High Burden Households:** Section C5 requires grantees to report the average annual electricity bill for those high burden households identified in Section C1.

The remaining fields in Section C are <u>auto-calculated</u> for the grantee based on the data entered above.

- **Total Annual Residential Energy Bill for High Burden Households:** Line C6 automatically adds together the average annual Main Heating Fuel and Electricity bill data to calculate average annual residential energy bill for high burden households.

- **Average Annual Energy Burden of High Burden Households before Receiving LIHEAP:** Line C7 automatically divides the average annual residential energy bill by the average annual income to calculate average annual energy burden of high burden households before receiving LIHEAP.

- **Average Annual Energy Burden of High Burden Households after Receiving LIHEAP:** Line C8 automatically subtracts the average annual LIHEAP benefit amount from the annual residential energy bill—then divides the adjusted annual energy bill by the average annual income to calculate energy burden for high burden households *after* receiving LIHEAP.

- **Percentage Point Change in Energy Burden among High Burden Households:** Line C9 automatically calculates the percentage point difference between pre-LIHEAP and post-LIHEAP energy burden among high burden households.

- **Percentage Reduction in Energy Burden among High Burden Households:** Line C10 automatically calculates the percentage difference between pre-LIHEAP and post-LIHEAP energy burden as a proportion of pre-LIHEAP burden among high burden households.

SECTION D

Section D uses information collected in Sections A-C to automatically calculate the **Benefit Targeting Index**. This index measure tells us whether high energy burden households receive higher LIHEAP benefits than average households. A Benefit Targeting Index of over 100 means that high energy burden households receive a greater LIHEAP benefit than average households.

For more information about how to interpret the targeting index, please see pages 38-40 of the FY 2009 Home Energy Notebook available at:

http://www.acf.hhs.gov/sites/default/files/ocs/fy2009_liheap_notebook.pdf

SECTION E

Section E uses information collected in Sections A-C to automatically calculate the **Energy Burden Reduction Index**. This index **tells us whether high energy burden households have a larger share of their energy bill paid with LIHEAP than average households.** An Energy Burden Reduction Index of over 100 means that high energy burden households are seeing more of their energy burden reduced with LIHEAP than average households.

For more information about how to interpret the targeting index, please see pages 38-40 of the FY 2009 Home Energy Notebook available at:

http://www.acf.hhs.gov/sites/default/files/ocs/fy2009_liheap_notebook.pdf

PART VI. RESTORATION OF HOME ENERGY SERVICE

One core purpose of LIHEAP is to ensure that low-income households have access to necessary home energy services. By restoring services to clients who do not currently have access to home energy, the program is eliminating a significant risk to the health and safety of low-income households.

Part VI of the Performance Measures Report form uses data provided by grantees to measure the impact of LIHEAP on restoration of home energy service.

Which Households Do I Count in Part VI?

For both Parts VI and VII, grantees should count all LIHEAP households identified in the LIHEAP Household Report and Grantee Survey.

For some grantees, this may be different than those households counted in Part V of this report. This is because Part V only includes households who received Bill Payment Assistance—whereas Parts VI and VII also account for weatherization and equipment repair/replacement benefits.

What Household Information is Necessary to Complete Part VI?

The data fields in Part VI of the Performance Measures Report form require specific information regarding the current status of household home energy service. Many grantees already ask households to report whether or not they currently have home energy service at the time of LIHEAP application. However, to complete this report, grantees would need to go a step further to determine and record whether the household:

- Household does not have service because they are disconnected.
- Household does not have service because they are out of fuel.
- Household does not have service because they have inoperable equipment *(inoperable includes red-tagged equipment, or equipment that if powered on, will result in injury or death).*

Once this status is known and recorded, a grantee can then track whether a LIHEAP benefit resulted in restoration of home energy service.

It is important to note that in many cases, repair or replacement of inoperable heating/cooling equipment may be administered by LIHEAP Weatherization contractors. Therefore, grantees may need to coordinate with their Weatherization partners to identify inoperable equipment that was repaired or replaced using LIHEAP funds.

Part VI Data Requirements

The following outlines the data required to complete Part VI of the Performance Measures Report form. For more information, including strategies and best practices for data collection, grantees should visit the LIHEAP Performance Measures Website at: **https://liheappm.ncat.org/user**.

SECTION A

LINE A1: **Number of All Occurrences of LIHEAP Assisted Households that had Energy Service Restored after Disconnection**: Line A1 requires grantees to report on the number of occurrences for which LIHEAP assistance led to the restoration of a household's energy service after a disconnection. (Note: Households for whom the primary energy service was restored should be counted even if they were able to heat or cool their home in another way). The total number of occurrences is an auto-calculated sum of occurrences for each applicable energy

source. Note: In this case, "energy source" is the fuel source where the LIHEAP benefit is being applied. In some cases, this may not be the household's primary fuel source.

LINE A2: **Number of All Occurrences of LIHEAP Assisted Households that had Fuel Delivered after the Home Ran out of Fuel**: Line A2 requires grantees to report on the number of occurrences for which LIHEAP resulted in delivery of fuel after a household had no fuel. (Note: Households should be counted even if they were able to use something other than their main fuel source to temporarily heat their home.) The total number of occurrences is an auto-calculated sum of occurrences for each applicable energy source. Note: In this case, "energy source" is the fuel source where the LIHEAP benefit is being applied. In some cases, this may not be the household's primary fuel source.

LINE A3: **Number of All Occurrences of LIHEAP Assisted Households that received Repair or Replacement of Inoperable Equipment:** Line A3 requires grantees to report the number of occurrences of households who had inoperable heating or cooling equipment repaired or replaced with LIHEAP funds. (Note: Households should be counted even if they were able to use something other than their main equipment to temporarily heat or cool their home.) The total number of occurrences is an auto-calculated sum of occurrences for each applicable energy source. Note: In this case, "energy source" is the fuel source where the LIHEAP benefit is being applied. In some cases, this may not be the household's primary fuel source.

PART VII. PREVENTION OF LOSS OF HOME ENERGY SERVICE

By preventing the loss of home energy service to at-risk households, LIHEAP can eliminate the costs associated with service restoration (e.g., reconnection charges) and can minimize health and safety risks.

Part VII of the Performance Measures Report form uses data provided by grantees to measure the impact of LIHEAP on preventing loss of home energy service.

Which Households should be counted in Part VII?

For both Parts VI and VII, grantees should count all LIHEAP households identified in the LIHEAP Household Report and Grantee Survey.

For some grantees, this may be different than those households counted in Part V of this report. This is because Part V only includes households who received Bill Payment Assistance—whereas Parts VI and VII also account for weatherization and equipment repair/replacement benefits.

What Household Information is Necessary to Complete Part VI?

The data fields in Part VII of the Performance Measures Report form require specific information regarding current status of home energy service, and more specifically, whether or not a household is at risk of losing their home energy service. Situations where a LIHEAP benefit would prevent a loss of home energy service include:

- **Households with a Utility Past Due or Disconnect Notice**: At the time of application, households would be asked whether they currently have a past due or disconnect notice from their energy supplier.

- **Households with Limited Fuel**: If applicants heat with a delivered fuel (e.g., fuel oil, propane, or wood) and do not have a past due notice, the grantee would ask questions at the time of application to determine whether or not the household is at "imminent risk" of losing their home energy service. In the case of delivered fuels, "imminent risk" should be defined by the grantee based on local conditions, and should correspond with existing state definitions used to determine home energy emergencies (as outlined in the grantee's State Plan).

- **Households in need of Equipment Repair/Replacement:** The grantee would determine at the time of application (or home energy audit) whether a LIHEAP household has currently operable heating or cooling equipment that needs to be repaired or replaced to prevent loss of home energy service. It is up to the grantee to determine whether a household is at "imminent risk" of losing their home energy service if heating or cooling equipment is not repaired or replaced. The definition of "imminent risk" should correspond with existing state definitions used to determine home energy emergencies (as outlined in the grantee's State Plan).

Part VII Data Requirements

The following outlines the data required to complete Part VII of the Performance Measures Report form. For more information, including strategies and best practices for data collection, grantees should visit the LIHEAP Performance Measures Website at: **https://liheappm.ncat.org/user.**

Section A

LINE A1: **Number of All Occurrences of LIHEAP Assisted Households that had a Utility Past-Due or Disconnect Notice and Receipt of LIHEAP Benefits Resulted in Continuance of Home Energy Service**: Line A1 requires grantees to report the number of occurrences of households that had a past due or disconnect notice at the time of application and receipt of LIHEAP benefit(s) resulted in continuance of home energy service. *Households who are already disconnected should not be counted in this section.* The total number of occurrences is an auto-calculated sum of occurrences for each applicable energy source. Note: In this case, "energy source" is the fuel source where the LIHEAP benefit is being applied. In some cases, this may not be the household's primary fuel source.

LINE A2: **Number of All Occurrences of LIHEAP Assisted Households that were at Imminent Risk of Running out of Fuel and Receipt of LIHEAP Benefit Resulted in Delivery of Fuel**: Line A2 requires grantees to report the number of occurrences of households that were at imminent risk of running out of fuel at the time of LIHEAP application and receipt of LIHEAP benefit(s) resulted in the delivery of fuel. *Households who are already out of fuel should not be counted in this section.* The total number of occurrences is an auto-calculated sum of occurrences for each applicable energy source. Note: In this case, "energy source" is the fuel source where the LIHEAP benefit is being applied. In some cases, this may not be the household's primary fuel source.

LINE A3: **Number of All Occurrences of LIHEAP Assisted Households where Repair/Replacement of Operable Home Energy Equipment prevented loss of Home Energy Service**: Line A3 requires grantees to report the number of occurrences of households for which LIHEAP Heating/Cooling equipment repair or replacement prevented loss of home energy service. Households whose heating or cooling equipment is inoperable (or red-tagged) at the time of application or home energy audit should not be counted in this section. The total number of occurrences is an auto-calculated sum of occurrences for each applicable energy source. Note: In this case, "energy source" is the fuel source where the LIHEAP benefit is being applied. In some cases, this may not be the household's primary fuel source.

OPTIONAL DATA

This section contains optional data elements. Optional data submitted by grantees will be used for more detailed analysis of energy burden reduction.

PART V. ENERGY BURDEN TARGETING (OPTIONAL MEASURES)

SECTION A:

LINE A1: **Average Annual Electricity Usage:** Line A1 allows grantees to report average annual electricity usage for bill-payment assisted households. This data will be used for more detailed analysis of home energy burden reduction.

LINE A2: **Average Annual Main Heating Usage:** Line A2 allows grantees to report average annual main heating fuel usage for bill-payment assisted households. This data will be used for more detailed analysis of home energy burden reduction.

SECTION B:

LINE B1: **Average Annual Electricity Usage among High Burden Households:** Line B1 allows grantees to report average annual electricity usage for high burden households. This data will be used for more detailed analysis of home energy burden reduction.

LINE B2: **Average Annual Main Heating Usage among High Burden Households:** Line B2 allows grantees to report average annual main heating fuel usage for high burden households. This data will be used for more detailed analysis of home energy burden reduction.

SECTION C:

LINE C1: **Electricity as Supplemental Heating Fuel**: Line C1 includes the unduplicated number of LIHEAP bill payment-assisted households that use electricity as a supplemental heating fuel. Grantees should report this data for all households, as well as for households within each main heating fuel type.

LINE C2: **Wood as Supplemental Heating Fuel**: Line C2 includes the unduplicated number of LIHEAP bill payment-assisted households that use wood as a supplemental heating fuel. Grantees should report this data for all households, as well as for households within each main heating fuel type.

LINE C3: **Other Supplemental Heating Fuel**: Line C3 includes the unduplicated number of LIHEAP bill payment-assisted households that use fuels other than electricity and wood for supplemental heating fuel. Grantees should report this data for all households, as well as for households within each main heating fuel type.

LINE C4: **Central Air Conditioning**: Line C4 includes the unduplicated number of LIHEAP bill payment-assisted households with central air conditioning. Grantees should report this data for all households, as well as for households within each main heating fuel type.

LINE C5: **Window/Wall Air Conditioner**: Line C5 includes the unduplicated number of LIHEAP bill payment-assisted households with Window/Wall AC (including evaporative coolers). (Note: If a household was already counted as having Central Air Conditioning, they should not be included here.) Grantees should report this data for all households, as well as for households within each main heating fuel type.

PART VI. RESTORATION OF HOME ENERGY SERVICE (OPTIONAL MEASURES)

LINE A: **Number of All LIHEAP Assisted Households that had Energy Service Restored**: Line A allows grantees to report on the unduplicated number of households for which LIHEAP assistance led to the restoration of energy service. Households that had home energy service(s) reconnected with LIHEAP funds more than one time in FY 2015 should only be counted once. (Note: Households for whom the primary energy service was restored should be counted even if they were able to heat or cool their home in another way).

PART VII. PREVENTION OF LOSS OF HOME ENERGY SERVICE (OPTIONAL MEASURES)

LINE A: **Number of All LIHEAP Assisted Households where Receipt of LIHEAP Benefits Resulted in Continuance of Home Energy Service**: Line A allows grantees to report on the unduplicated number households where receipt of LIHEAP benefit(s) resulted in continuance of home energy service. Households where loss of home energy service was prevented more than one time in FY 2015 should only be counted once. *Households who are already disconnected should not be counted in this section.*

NOTES

This section of the report should be used by grantees to provide notes or clarification regarding reported data. Wherever possible, grantees should include the section number of the item(s) being referenced.