



Administration for Children and Families

Office of Community Services
Division of Energy Assistance

LIHEAP 101 for New Tribal Coordinators

National Energy and Utility Affordability Conference

June 10, 2013

San Diego, CA



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Topics for Discussion

- LIHEAP Reports and Deadlines
- “Funds Payable” and the Impact on LIHEAP Budgeting
- Obligation vs. Expenditure



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LIHEAP Reports and Deadlines



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Reports for Tribal LIHEAP Grantees

For Federal Fiscal Year: October 1, 2013 – September 30, 2014

Required

- LIHEAP Plan
- Program Integrity Assessment Supplement (PIAS)
- Carryover & Reallotment Report
- Household Report – Short Form
- SF 425 – Federal Financial Report

Optional

- Leveraging Report
- Weatherization Waiver



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2014 LIHEAP Model Plan

Due September 1, 2013

- Detailed vs Abbreviated Model Plan
- First Come, First Served!!!
- Extension: Must be made in writing by September 1st (email to your ACF Liaison is okay)
- Changes to Plan during the FY 2014
 - Written amendments to 2014 Plan due to ACF by September 30, 2014 (no prior approval needed)
 - “Substantial” amendments must have meaningful timely public inspection



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Program Integrity Assessment Supplement (PIAS)

Due September 1, 2013

- Ensures that effective preventive controls, fraud detection, monitoring exist at all levels of the program to prevent improper payments, fraud, waste and abuse.
- Standard Format – recommended for use by all grantees
 - Grantee must include all of the information requested in standard format if using other format.
- PIAS must be included in the Plan for purposes of public participation.



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Carryover & Reallotment Report

Due August 1, 2013

- Carryover and Reallotment Report is due 2 months before the end of the fiscal year.
- Estimates may later prove to be inaccurate.
- Submit a corrected report as soon as possible.
- **NEW** this year:
 - Submission through OLDC



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Household Report – Short Form

Due September 1, 2013

- Okay to submit estimates if program still open.
- If changes are made, Final report due Dec 15, 2013.
- **NEW** this year:
 - Submit Household Report through OLDC
 - Attach Model Plan and PIAS to Household Report in OLDC



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SF 425 – Federal Financial Report

Due by December 31, 2013

- All grantees must submit a report on Standard Form (SF) 425 describing the amount of LIHEAP funds obligated during each fiscal year.
- A separate SF 425 must be submitted on each type of LIHEAP funding received, such as block grant, contingency, REACH, and Leveraging.
- Revised SF-425 must be submitted the following year to reflect changes in carryover and expenditures, etc.



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Leveraging Report

Due November 30, 2013

- Optional
- Announcement is made roughly a month in advance.
- Describes non-federal sources of funding used to assist LIHEAP-eligible clients with home energy.
- You must describe your leveraging activities in your FY 2013 Plan if you anticipate submitting a leveraging application on Nov. 30th.



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Weatherization Waiver

Accepted April 1, 2014 – September 30, 2014

- Only needed if you wish to exceed 15% cap (Up to 25%).
- There is no required format for the waiver request.
- Contact your ACF Liaison for instructions.
- The content of the waiver request is described in our regulations – 45 C.F.R. § 96.87.
 - <http://archive.acf.hhs.gov/programs/ocs/liheap/guidance/regulations/regh.html>



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OLDC (Online Data Collection) Intro

- Web-based tool used to collect LIHEAP reports except for weatherization waiver.
 - Used to submit Federal Financial Report SF-425
 - New this year:
 - Household Report (with LIHEAP Plan & PIAS uploaded as attachment)
 - Carryover Report
 - Leveraging Report
- You need to request online access for username and password.
 - **Sign-up sheet available following this session!**
 - <http://www.acf.hhs.gov/programs/ocs/resource/funding-applications>



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“Funds Payable” and the Impact on LIHEAP Budgeting



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What's Included in "Funds Payable"?

For Funds Received During the Federal Fiscal Year: October 1 – September 30

INCLUDE:

- Regular LIHEAP allocation
- Supplemental or contingency funds
- Leveraging incentive award funds (except for the weatherization cap)
- Reallotment funds

DO NOT INCLUDE

- Carryover funds from the prior year

Leveraging funds must NOT be obligated or expended for administrative costs



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Administrative Costs Cap Maximums

- Tribes with allotments over \$20,000 can use \$4,000, plus 10% of the total LIHEAP funds payable after subtracting the first \$20,000 of LIHEAP funds.
- Tribes with allotments of \$20,000 or less can use 20% of total LIHEAP funds payable.
- If planning and administrative costs exceed the allowable amount, non-Federal funds must be used to pay the excess



Calculating the Administrative Costs Cap Maximum

EXAMPLE

Total LIHEAP allotment of \$100,000

- First \$4,000 \$4,000
- Remaining allotment = \$80,000
 $\$100,000 - \$20,000$
- 10% of remaining allotment \$80,000 is: \$8,000
 $0.10 * \$80,000 = \$8,000$

Total administrative cost cap = \$12,000



Calculating the Percentage of Funds for Administrative Costs

EXAMPLE

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

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

Administrative Cost Percentage = 12%

$$0.12 * 100 = 12\%$$



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Administrative Costs Plan Reporting

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**



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Administrative Cost Resources

See Section I of the Tribal Manual to read about options for defining administrative costs and how to calculate.

<http://www.liheap.ncat.org/Tribes/manual.htm>

Section 2605(b)(9) of the LIHEAP statute.

<http://archive.acf.hhs.gov/programs/ocs/liheap/guidance/statute/statute.html#sec2609>

The regulations at 45 C.F.R. § 96.88.

<http://archive.acf.hhs.gov/programs/ocs/liheap/guidance/regulations/regh.html>



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Obligation vs. Expenditure



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Obligation

- The Tribe is responsible for setting the definition, ideally in writing.
- When are funds considered to be obligated?
 - When the approval letter is issued to the client?
 - When the credit line is established with the vendor?
 - When the client certifies that fuel has been delivered?



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Obligation Time Period

- 90% of funds payable must be obligated in the federal fiscal year in which they were received.
 - For funds received in FY 2013 – between October 1, 2012 and September 30, 2013.
- 10% of funds may be carried over for obligation in the following fiscal year.
 - For funds received in FY 2013 – between October 1, 2013 and September 30, 2014.



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Expenditure

- The Tribe is responsible for setting the definition in writing.
- When are funds considered to be expended?
 - When the check is issued to the vendor?
 - When the Purchase Order or Requisition for a check is made by the LIHEAP office?
 - When the payment is recorded in the General Ledger?



Expenditure Time Frame

- LIHEAP statute and regulations do not specify a timeframe.
- If no time frame is specified, all federal funds remain available for five years after the fiscal year in which they were received.
- After 5 years, the funds expire and are sent back to the U.S. Treasury.



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Questions

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