

**Memorandum of Understanding
Between
The Missouri Department of Social Services
and
The Missouri Department of Economic Development**

1. Purpose

- 1.1 This agreement (“MOU”) is entered into between the Missouri Department of Social Services (“DSS”) and Department of Economic Development (“DED,” together with DSS the “Parties”) for the purpose of setting forth the terms and conditions for providing weatherization funding to eligible households under the DED Division of Energy’s (“DE”) Low Income Weatherization Assistance Program (“LIWAP”), administered pursuant to rules set forth by the U.S. Department of Energy (“DOE”).
- 1.2 DSS receives funding through the Low Income Home Energy Assistance Program (“LIHEAP”) block grant (the “LIHEAP Block Grant”). DSS has directed that seven million dollars (\$7,000,000) be utilized for weatherizing low income homes.

2. Term of Agreement/Modifications

- 2.1 This MOU shall be effective from October 1, 2014 through September 30, 2015. Any changes to the MOU must be by formal amendment reviewed, approved and signed by the parties.
- 2.2 No other documents, including correspondence, acts or oral communications by or from any person, shall be construed as an amendment to the MOU.
- 2.3 Either party may terminate this MOU after providing a minimum of thirty (30) calendar days notice or when funding is exhausted.

3. Financial Provisions

- 3.1 DSS shall make seven million dollars (\$7,000,000) available to DED for the purpose of weatherization assistance to eligible low-income Missourians.
- 3.2 DSS shall disburse funds from its LIHEAP grant sufficient to cover payments made by DED for weatherization assistance, up to the maximum amount identified herein.
- 3.3 The Parties agree to negotiate mutually acceptable terms for use of these funds should changes in usage be necessary during the term of this MOU.

4. Responsibilities of the Parties

4.1 Responsibilities of DED

- 4.1.1 DED shall allocate the transferred LIHEAP funding for the LIWAP program no later than sixty (60) calendar days after execution of award. The selection of weatherization subgrantees shall be determined by DED in its sole discretion. The weatherization subgrantees shall utilize their allocation of funds to provide weatherization services to eligible households under the DOE LIWAP rules as administered by DED. DED shall allow the weatherization subgrantees no more than ten percent (10%) of the allocated funds for administrative purposes in accordance with the provisions of 10 CFR Part 440.18 subpart (e). DED shall not utilize any portion of the seven million dollars (\$7,000,000) for DED’s administrative costs.
- 4.1.2 DED shall notify DSS of the amount of LIHEAP funding obligated to each weatherization subgrantee upon award.
- 4.1.3 DED shall track LIHEAP weatherization funding transferred to DED separately from LIWAP funding.
- 4.1.4 DED shall submit an itemized invoice for payments made to weatherization subgrantees for weatherization assistance and administrative activities. Invoices shall be based on the actual costs incurred and submitted to DED in accordance with the following:

- a. DED shall submit an itemized invoice to DSS on a form approved and provided by the Department, on the first (1st) and fifteenth (15th) of each month for the actual expenditures for the previous month.
- b. Along with the invoice, DED shall submit to DSS an expenditure report on a form approved and provided by the Department, identifying line item expenditures related to the provision of services identified herein.
- c. DED shall submit all invoices and expenditure reports by hard copy with original signature or scanned electronic copy to the address listed below (faxed copies will not be accepted):

Family Support Division
 Community Support Unit
 615 Howerton Court
 Jefferson City, MO 65102
Kathleen.Wilcoxson@dss.mo.gov

- 1) Invoices and expenditure reports must be readable. Unreadable copies will be returned and must be replaced with original documents.
 - 2) DED shall submit invoices within thirty (30) calendar days of the end of the month in which services were provided. Final invoices must be received within thirty (30) calendar days after the end of the agreement period.
 - 3) DSS is not required to make payment for expenses billed on invoices not submitted within the timeframes required by this MOU.
- d. In addition, the following reporting information shall be submitted with the invoice to DSS:
- 1) A listing of households including applicant name, Social Security Number ("SSN") and address receiving weatherization assistance; and
 - 2) The date each home was weatherized and the amount expended on each home.
- 4.1.5 DED shall provide a report to DSS by July 15, 2015, and November 15, 2015, to include the total number of households weatherized with LIHEAP Weatherization funds. The November 15, 2015, report shall also include the amount of LIHEAP Weatherization funds expended by weatherization subgrantee(s) throughout the fiscal year and the dates of payments.
- 4.1.6 DED shall provide to DSS, by December 15, 2015, copies of monitoring reports of the weatherization subgrantee(s) during the period the funding is provided. If findings of non-compliance are reported, DED shall provide DSS with corrective action plans and any follow-up agreements or reviews that may exist.
- 4.1.7 DSS shall have the right to recover from the DED all funds for which adequate verification and full documentation of expenditures is not maintained. Adequate verification and full documentation of expenditures as used in this paragraph shall mean that DED's records are such that an orderly examination by a reasonable person is possible and can be conducted without the use of information extrinsic to said records and such that an examination can readily determine whether DED's services were, in fact provided and whether they were in accordance with the terms of this MOU and applicable federal and state regulations. DED shall have the burden of establishing said verification. Failure to maintain adequate verification and full documentation of services provided shall constitute a material breach of this MOU and shall be cause for the termination of this MOU.
- a. Any deferrals, disallowances, questioned costs, or other items not allowed for federal financial participation, claimed by DSS on behalf of DED, shall be returned by DED to either DSS or directly to the DOE as directed by DSS.
- 4.1.8 DED shall comply with the LIHEAP Federal Household Report Requirements as stated in Appendix A.
- 4.1.9 By November 30, 2015, DED shall provide the following information to DSS in compliance with the Federal LIHEAP Grantee Survey requirements:

- a. The maximum annual dollar income amount allowed for eligibility that was in effect at the beginning of current Federal Fiscal Year (FFY) for a four (4) person household where weatherization assistance was provided.

4.2 **Responsibilities of DSS**

- 4.2.1 DSS shall submit the federal reporting to U.S. Department of Health and Human Services to show the use of the seven million dollars (\$7,000,000), allocations to each weatherization subgrantee, and number of households served within each service area.

5. **Confidentiality**

- 5.1 It is not anticipated that any confidentiality agreement will be required by law in order to perform the duties covered by this MOU. If such an agreement is required by law, and only to the extent required by law, the parties agree to work cooperatively to execute such an agreement.

6. **Federal Funds Requirements** The DED shall agree that this MOU involves the use of federal funds as specified below.

- 6.1 In performing the DED's responsibilities under the MOU, the DED shall fully comply with the following Office of Management and Budget ("OMB") administrative requirements and cost principles, as applicable, including any subsequent amendments:

Uniform Administrative Requirements – A-102 - State/Local Governments; 2 CFR 215 - Hospitals, Colleges and Universities, For-Profit Organizations (if specifically included in federal agency implementation), and Not-For-Profit Organizations (OMB Circular A-110).

Cost Principles – 2 CFR 225 – State/Local Governments (OMB Circular A-87); A-122 - Not-For-Profit Organizations; A-21 – Colleges and Universities; 48 CFR 31.2 – For-Profit Organizations; 45 CFR 74 Appendix E – Hospitals.

Steven's Amendment – In accordance with the Departments of Labor, Health and Human Services, and Education and Related Agencies Appointment Act, Public Law 101-166, Section 511, "Steven's Amendment", the DED shall not issue any statements, press releases, and other documents describing projects or programs funded in whole or in part with LIHEAP federal money unless the prior approval of the DSS is obtained and unless they clearly state the following as provided by the DSS:

- a. The percentage of the total costs of the program or project which will be financed with federal money;
- b. The dollar amount of Federal funds for the project or program; and
- c. The percentage and dollar amount of the total costs of the project or program that will be financed by nongovernmental sources.

- 6.2 The DED shall comply with the requirements of the Single Audit Act Amendments of 1996 (P.L. 104-156) and Circular A-133, including subsequent amendments or revisions, as applicable or 2 CFR 215.26 as it relates to for-profit hospitals and commercial organizations. A copy of any audit report shall be sent to the DSS each year this MOU is in effect, if applicable. The DED shall return to the DSS any funds disallowed in an audit of the program funded under this MOU.

7. **Subrecipient Determination and Requirements**

- 7.1 It has been determined that the DED is a subrecipient as defined in OMB Circular A-133, Section 210.

- a. The DSS will provide the DED with applicable federal funding source information including the federal granting agency, the Catalog of Federal Domestic Assistance ("CFDA") number and grant name, award number and award year(s).

- 7.2 The DED shall comply with all applicable terms and conditions of the LIHEAP Block Grant.

- a. Additionally, the DED shall comply, as applicable, with the provisions of:
 - 1) OMB A-133, Audits of States, Local Governments, and Non-profit Organizations;
 - 2) OMB A-122, Cost Principles for Non-Profit Organizations;

- 3) OMB A-110, Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Learning, Hospitals and Other Non-Profit Organizations;
- 4) OMB A-102, Grants and Cooperative Agreements with State and Local Governments;
- 5) OMB A-87, Cost Principles for State, Local and Indian Tribal Governments; and
- 6) All other laws, regulations and policies authorizing or governing the use of any federal funds paid to the DED under this MOU.

7.3 The DED shall not utilize federal funds, or any required matching funds, provided under this MOU as matching funds for any other federal grant, unless specifically allowed under that grant.

7.4 Allowable Expenditures: The DED shall ensure that all expenditures invoiced, claimed and/or reported are consistent with the requirements stated herein. Unless otherwise stated herein, the DED shall invoice the DSS based on actual, allowable costs incurred.

- a. All expenditures invoiced, claimed and/or reported by the DED must satisfy the:
 - 1) General provisions for allowable costs, as defined in the applicable OMB Circular; and
 - 2) Specific provisions for allowable costs, as defined in applicable Federal program rules.
- b. Submission of an invoice by the DED shall constitute as the DED's certification to the best of its knowledge that the items included on the invoice represent actual, allowable costs associated with performing the requirements of this MOU.
- c. In the event the DED utilizes employees that work solely on activities funded under this MOU, the DED may utilize employee payroll records to meet supporting documentation requirements.
- d. In the event DED utilizes employees that work on other activities in addition to activities funded under this MOU, DED must maintain personnel activity reports that either:
 - 1) reflect the cost distribution of the actual activity reimbursable under this MOU for each employee, account for the total amount of compensation for each employee, and are prepared on at least a monthly basis, coinciding with one or more pay periods; or
 - 2) are supported by a statistical sampling system or other substitute system. In the event DED utilizes a statistical sampling system or other substitute system, DED shall submit a detailed description of the allocation methodology for the prior approval of DSS. Any changes to the methodology implemented are subject to the prior approval of DSS.
- e. Materials acquired, consumed or expended may only be invoiced by the DED if such expenditure is:
 - 1) for a benefit specific to the purposes and requirements under this MOU; or
 - 2) a cost chargeable or assigned in part for the purposes authorized under this MOU, in accordance with relative benefits received. In the event materials acquired, consumed or expended are allocable, the DED shall submit a detailed description of the allocation methodology utilized to assign those costs in accordance with the relative benefits received, for the prior approval of the DSS. Any changes to the approved methodology implemented are subject to the prior approval of the DSS.
- f. In the event indirect costs are included as part of the cost reimbursement under this MOU, such indirect costs must be approved in either a Federal or State Approved Indirect Cost Negotiation Agreement.
 - 1) The DED shall submit its current Approved Indirect Cost Negotiation Agreement to the DSS prior to invoicing for indirect costs.
 - 2) In the event the DED's approved federal or state indirect rates change, the DED shall submit an updated Federal or State Approved Indirect Cost Negotiation Agreement to the DSS prior to invoicing for revised/updated indirect costs.

- 3) The DSS has a policy governing maximum indirect rates allowable under DSS contracts and therefore reserves that right to limit the indirect rate reimbursable to the DED in accordance with such policy.
- g. The contractor must have the prior, written approval of the DSS for any automated data processing costs in excess of one million dollars (\$1,000,000). The contractor shall also comply with the applicable provisions of 45 CFR Part 95, Subpart F, for any such costs.
- 7.5 The DED shall maintain an accounting system that, at a minimum, records expenditures in a manner that readily identifies the expenditure as an activity allowable under the funding grant and allows required federal financial reports to be easily prepared.
- 7.6 The DED shall be responsible for any deferrals, disallowances, questioned costs, or other items not allowed for federal financial participation claimed by the DSS on behalf of the DED.
- a. The DED shall return any funds disallowed within six (6) months, either to the DSS or directly to the applicable federal agency, as instructed by the DSS.
- 7.7 Audit Requirements: If required pursuant to OMB Circular A-133, the DED shall have a single or program-specific audit conducted in accordance with provisions of the Single Audit Act Amendments of 1996 and OMB Circular A-133, including subsequent amendments or revisions.
- a. In accordance with the provisions of OMB Circular A-133, as revised, the DED shall consider all sources of federal awards, including federal resources received from the DSS, in determining the federal awards expended in its fiscal year.
- b. In the event the DED is required to complete an audit pursuant to OMB Circular A-133, the DED shall submit a copy of the final audit report in accordance with the requirements of OMB Circular A-133, to the DSS at:
- Department of Social Services
Division of Finance and Administrative Services
Attn: A133
P.O. Box 1082
Jefferson City, MO 65102
- c. The DED shall make all reports prepared in accordance with the requirements of OMB Circular A-133 available for inspection by representatives of the DSS during normal business hours.
- d. The DED shall provide the DSS, in a timely manner, with access to any independent auditors' reports that present instances of noncompliance with federal laws and regulations that bear directly on the performance or administration of this MOU. In cases of such noncompliance, DED will provide copies of responses to auditors' reports and a plan for corrective action(s).
- 1) The DED shall cooperate with the DSS in resolving questions that the DSS may have concerning the auditors' report and plans for corrective action(s).
- e. Unless otherwise required herein, the DED shall keep, for a period of five (5) years following the termination or expiration of this MOU, or until all litigation, claims or audit findings have been resolved and final action is taken, such records as may be reasonably necessary to facilitate an effective audit.
- 7.8 Transparency Reporting: In order to assist the DSS in complying with its reporting requirements under the Federal Funding Accountability and Transparency Act ("FFATA"), the DED must fully complete and submit Exhibit #1, FFATA Data Form, to the DSS prior to the award of this MOU.
- a. The DED should register in the federal government System for Award Management ("SAM") available at www.sam.gov, to record information about the DED's organization, including executive compensation data. SAM is a secure, single repository of data and the DED should only need to register once and renew annually thereafter and update information as necessary.

~~~~~  
***In witness thereof, the parties below hereby execute this agreement.***

\_\_\_\_\_  
Authorized Signature for the Department of Economic Development

\_\_\_\_\_  
Date

\_\_\_\_\_  
Authorized Signature of the Department of Social Services,  
Family Support Division

\_\_\_\_\_  
Date

\_\_\_\_\_  
Authorized Signature for the Department of Social Services

\_\_\_\_\_  
Date

## Appendix A

### Instructions for the *LIHEAP Household Report for FFY 2014—Long Form*

Division of Energy Assistance/OCS/ACF

August 20, 2014

### The Paperwork Reduction Act of 1995

This information collection (OMB Control No. 0970-0060; Expiration Date: 10/31/14) is conducted in accordance with the Low Income Home Energy Assistance Program (LIHEAP) statute (Public Law 97-35, as amended), and 45 CFR 96.82. Information received from this collection provides data to the Administration and Congress in its oversight of grantees' performance in administering the LIHEAP program.

Public reporting burden for this information collection, *LIHEAP Household Report for Federal Fiscal Year (FFY) 2015—Long Form*, is estimated as follows for the two parts of the Report: (A) an average burden of 25 hours per respondent for “LIHEAP Assisted Households,” and (B) an average burden of 13 hours per respondent for “*LIHEAP Applicant Households*.” The estimates include the time for reviewing instructions, and gathering, editing, maintaining, and reporting the data.

The responses to this information collection are required in order to obtain LIHEAP funding data in accordance with Section 2605(c)(1)(G) of the LIHEAP statute. This information collection is required of the 50 States, District of Columbia, and the Commonwealth of Puerto Rico that are applying for FFY 2014 funds.

This 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 unless it displays a currently valid OMB control number.

After signing on to the Online Data Collection (OLDC system), select OLDC Report and follow the instructions for locating the LIHEAP Household Report-Long Form for FFY 2014. A tutorial is available at the link below using the Carryover Report as an example. The process is the same for the Household Report.

<https://extranet.acf.hhs.gov/oldcdocs/Session%20%20-%20OLDC%20Intro%20-LIHEAP%20Grantees%206.4.2013.pdf>

The reporting instructions are organized into the following sections and subsections:

### Introduction

Federal LIHEAP Funds

Basic Types of LIHEAP Assistance

Other Types of LIHEAP Assistance

Concept of Unduplicated Household Counts

### General Requirements

Identification Information

Reporting Period

Definition of Household

Estimated vs. Actual Household Counts

State Calculated vs. OLDC Calculated Totals

Households Receiving “Other” LIHEAP Assistance”

Data Consistency

Household Data Variables

## **Section I. Number of Assisted Households**

Number of Households Assisted with LIHEAP Funds

Number of Households for EACH Type of Assistance

Number of Households for ANY Type of Assistance

## **Section II. Number of Assisted Households by Poverty Intervals**

Uniform Counting and Reporting

Gross Household Income Adjusted by Household Size

Calculating and Assigning Households to Poverty Percent Intervals

## **Section III. Number of Assisted Households by Vulnerable Populations**

Number of Households by Each Vulnerable Group for EACH Type of Assistance

Number of Households by Any Vulnerable Group, for EACH Type of Assistance

Number of Households by Each Vulnerable Group, for ANY Type of Assistance

Number of Households by Any Vulnerable Group, for ANY Type of Assistance

## **Section IV. Number of Applicant Households**

## **Section V. Number of Applicant Households by Poverty Intervals**

Households Assisted with Federal LIHEAP Funds

Concept of Unduplicated Household Counts

Households Receiving “Other LIHEAP Assistance”

## **Section VI. Number of Assisted Households by Young Child Age Category (Optional)**

### **Notes**

### **Certification**



## Introduction

Section 309 of the Human Services Amendments of 1994, Public Law 103-252, amended section 2605(c)(1)(G) of the LIHEAP statute to require grantees, as part of their annual LIHEAP grant application, to report certain data on households which apply for LIHEAP assistance and on households which receive LIHEAP assistance in the most recent Federal Fiscal Year.

As with the LIHEAP state plans for FFY 2015, **September 1, 2014** is the deadline for all grantees to submit their *LIHEAP Household Report for FFY 14*. (This date may be extended for tribal grantees if the state in which the tribe is located agrees to a later date. The date may be extended for state or territorial grantees if HHS agrees to a later date.). However, any requests for extension need to be made before September 1, 2014.

LIHEAP grant applications will not be considered complete without submission of the data in the *LIHEAP Household Report*, including the identifying information. Consequently, a FFY 2015 LIHEAP grant will not be awarded to a grantee until its completed *LIHEAP Household Report* for FFY 2014 is received, and all other application requirements have been completed.

*The LIHEAP Household Report for FFY 2014* is to be included as part of the LIHEAP grantee's application for FFY 2015. The due date of September 1, 2014 is still within FFY 2014 which ends on September 30, 2014. Therefore, estimated counts of household data will be accepted for any of the *LIHEAP Household Report's* data elements so as not to be a source of delay in awarding LIHEAP grants for FFY 2015. Final LIHEAP household data for FFY 2014 is to be submitted to OCS through ACF's Online Data Collection (OLDC ) system by **December 15, 2014** in preparation of the Department's *LIHEAP Report to Congress for FFY 2014*.

### ***Federal LIHEAP Funds***

Households could be assisted in FFY 2014 with the following Federal LIHEAP funds:

- FFY 2014 LIHEAP regular block grant funds,
- LIHEAP funds carried over from FFY 2013;
- LIHEAP funds obligated in FFY 2013 that were expended in FFY 2014;
- Assurance 16 funds; and
- Oil overcharge (Petroleum Violation Escrow) funds, if any, designated for LIHEAP.

The purpose of the *LIHEAP Household Report* is to report on the number of households assisted with **all** available LIHEAP funds during FFY 2014, including those LIHEAP funds obligated in FFY 2013, but not expended until FFY 2014.

### ***Basic Types of LIHEAP Assistance***

LIHEAP grantees have the flexibility to choose which types of LIHEAP assistance best meet the needs of their low income households. Federal LIHEAP funds are used to provide the following basic types of assistance to households:

- heating assistance;
- cooling assistance;
- winter/year round crisis assistance;
- summer crisis assistance; and
- weatherization and energy-related home repairs.

### ***Other Types of LIHEAP Assistance***

There are states which provide households with “other LIHEAP assistance,” as described in a state's LIHEAP Plan for FFY 2015. For the most part, this would include households receiving “other crisis assistance,” such as furnace or air conditioner repairs. Also, this would include Supplemental Nutrition Assistance Program (SNAP) households that were provided a relatively small LIHEAP payment to increase the amount of SNAP benefits that they receive.

In the past, the *LIHEAP Household Report* limited other LIHEAP assistance to “other crisis” assistance. Examples include emergency home heating/cooling equipment repairs or replacements; shelter programs; furnace restarts, utility reconnections, etc.

### **Data Sections of the LIHEAP Household Report**

The data portions of the Report consists of six sections as noted in Table 1 below. The LIHEAP Household Report includes Sections I–VI, as noted below. Within each section the rows represent the type of LIHEAP assistance provided by the grantee consistent with the grantee’s state plan.

| Section | Description                                                          |
|---------|----------------------------------------------------------------------|
| I       | Number of assisted households                                        |
| II      | Number of assisted households by HHS Poverty Guidelines              |
| III     | Number of assisted households by Vulnerable Population               |
| IV      | Number of applicant household                                        |
| V       | Number of applicant households by poverty interval                   |
| VI      | Number of assisted households by young child age category (Optional) |

### ***Concept of Unduplicated Household Counts***

As in the past, grantees are required to report on the *LIHEAP Household Report* “unduplicated counts” of LIHEAP applicant and assisted households for each type of LIHEAP assistance provided. Such data must be reported separately for EACH type of LIHEAP assistance. As of FY 2011, data also must be reported separately on households that received ANY type of LIHEAP assistance. Specific information is included as described in the section, “Unduplicated Household Counts” in Section II.

The **Long Form** includes Sections I-III (Sections V and VI are optional) for assisted household data and Sections IV and V for applicant household data as described below. The reporting instructions on unduplicated household counts and poverty data are the same for reporting on assisted and applicant households.

As of FFY 2011, unduplicated household counts are to be reported for households that receive (**assisted**) households receive ANY type of LIHEAP assistance, as described below. Report households that received a LIHEAP basic benefit for EACH and ANY type of LIHEAP assistance in FFY 2014. Unduplicated data also must include households that receive any “other” type of LIHEAP assistance, as explained below.

The concept of unduplicated counts means that an item, such as a household, is counted only once for a specific data variable. However, unduplicated counting becomes complex when there are multiple data variables. Such counting requires

the use of computerized data systems and tracking of households across a state's entire LIHEAP program, including households receiving weatherization through LIHEAP funds.

## **General Requirements**

Understanding of the reporting instructions will minimize our need to contact you for clarification or correction of your state's reported data, saving both our agencies time and effort. This also will enhance our timeliness in compiling, editing, and reporting the data. If possible, we want to avoid having to note in the *LIHEAP Report to Congress*, that a state's data are inaccurate, estimated, unavailable, or untimely.

### ***Identifying Information***

Please include in your *LIHEAP Household Report* the name, date, email address, and telephone number of the person to be contacted if we need to follow up with your states about its *LIHEAP Household Report*. The Report will be considered incomplete and not accepted in OLDC if this information is not included.

### ***Reporting Period***

Household data are for the reporting period for FFY 2014 (October 1, 2013 - September 30, 2014). Grantees may operate their programs on a different program year (e.g., starting January 1 or July 1). However, complete household data still need to be reported for FFY 2014.

### ***Definition of Household***

The unit for LIHEAP counting is the household; not the head of household or persons in the households. LIHEAP household counts need to be consistent with Section 2 or who make undesignated payments for energy in the form of rent.”

Given the above definition, a homeowner, a renter whose home energy costs are not included in its rent, and a renter whose home energy costs are included in its rent are counted as separate households. Also, a boarder who rents from a homeowner an apartment or living space with its own heating or cooling system is counted as a separate household. The counting of households becomes complicated if a household splits into two households over the FFY. This is a critical point when reporting an unduplicated number of households.

### ***Estimated vs. Actual Household Counts***

The **Long Form** includes the general question, “Do the data below include estimated figures? Click on the YES or NO box as appropriate. If “YES” then follow the additional instructions for Column A in Section I and Section V.

If actual data are not available, please provide notes indicating which data elements are estimated. Include estimates for poverty level and vulnerable households to ensure completeness. When actual data are reported later in a revised report, please uncheck the boxes for estimated data.

### ***State Calculated Total Counts vs. OLDC Calculated Total Counts of Number of Households***

The **Long Form** calculates totals for the number of assisted and applicant households for each type of assistance provided when the Validation button is clicked. The total number of calculated households should equal the number of assisted or applicant households indicated in the grantee's records. If not, check the data entries and/or provide a note as to why the totals do not match each other.

### ***Households Receiving “Other LIHEAP Assistance”***

Counting and reporting on the number of households receiving “other LIHEAP assistance” are needed to credit states for their efforts in assisting such households (consistent with states' LIHEAP Plans for FFY 2014), and to provide an accurate accounting of the program's entire caseload.

Households receiving “other LIHEAP crisis assistance” are to be counted and reported as follows:

- ADD those households that received "other crisis assistance" to winter/year round or summer crisis assistance if they represent additional households excluded from the crisis assistance data. Also include poverty data and vulnerable household data. Include a note at the end of the **report** that indicates how many of these households are included in the data and the nature of the assistance.
- DO NOT ADD those households that received "other crisis assistance" to winter/year-round or summer crisis assistance if they already received winter/year-round or summer crisis assistance so as to avoid duplicating the data count. **Include a note that describes that assistance and how many of the reported households received the “other crisis assistance” in the blank rows at the end of the section.**

Some states provide “other LIHEAP non-crisis assistance” that is not crisis in nature, e.g., summer fill program, Percentage of Income Payment, restricted LIHEAP benefits for SNAP households (often referred to as “Heat/Cool or Eat Programs” or Nominal Benefit Programs), etc. With the exception of SNAP households that receive nominal LIHEAP benefits, households receiving “other LIHEAP non-crisis assistance” need to be counted and reported as follows:

- ADD those households that received "other non-crisis assistance" to the basic type of related basic assistance (i.e., heating, cooling, or weatherization assistance) if they represent additional households. Add those household’s data to the poverty levels and vulnerability groups for that basic type of LIHEAP assistance. Include a note that briefly describes “other,” which basic type of assistance includes these households, and the number of such households and benefit per household.
- DO NOT ADD those households that received "other non-crisis LIHEAP assistance" if they also received heating, cooling, or weatherization assistance. Include a brief note that describes “other non-crisis assistance,” and indicates the related basic type of LIHEAP assistance. **An unused row of LIHEAP assistance on the *LIHEAP Household Report* can be labeled “other non-crisis assistance” to report only the number of households receiving that type of assistance.**

SNAP households receiving a reduced LIHEAP benefit are not to be included with the heating assistance data. (The reduced LIHEAP benefit allows such households to receive an increased SNAP benefit.) Instead, include a note that indicates how many of the SNAP households received restricted LIHEAP benefits and the amount of the benefit per household. The number of such households will be included in a footnote for the relevant states in the annual *LIHEAP Report to Congress*.

### ***Data Consistency***

The data will be checked for consistency against the type of LIHEAP assistance that states report in their state plan for FFY 2014 and on the *LIHEAP Grantee Survey for FFY 2014* that will be due sometime January 15, 2015. For example, if obligated funds are reported for cooling assistance, in later January 2015. And there are no household data for cooling assistance, then include a note which explains the inconsistency or send us a revised LIHEAP Household Report or Grantee Survey.

### ***Household Data Variables***

Unduplicated household counts must be reported for the following data variables:

1. number of assisted households, by EACH type of LIHEAP assistance;
2. number of applicant households; by EACH type of LIHEAP assistance;
3. number of assisted households by poverty level, by EACH type of LIHEAP assistance;

4. number of applicant households by poverty level, by EACH type of LIHEAP assistance;
5. number of assisted households having at least one member 60 years or older (elderly vulnerability group) by EACH type of LIHEAP assistance;
6. number of assisted households having at least one member with a disability (disability vulnerability group) according to the state’s definition of disability by EACH type of LIHEAP assistance;
7. number of assisted households having at least one member 5 years or under (young child vulnerability group) by EACH type of LIHEAP assistance.
8. number of assisted households by ANY type of LIHEAP assistance;
9. number of assisted households by any vulnerable group for EACH type of LHEAP assistance;
10. number of assisted households by each vulnerable group for ANY type of LIHEAP assistance; and
11. number of assisted households by any vulnerable group and for ANY type of LIHEAP assistance.

The data variables are organized into the following sections of the Household Report:

**Table 1. Data sections of LIHEAP Household Report**

| <u>Section</u> | <u>Description</u>                                                   |
|----------------|----------------------------------------------------------------------|
| I              | Number of assisted households                                        |
| II             | Number of assisted households by HHS Poverty Guidelines              |
| III            | Number of assisted households by Vulnerable Population               |
| IV             | Number of applicant households                                       |
| V              | Number of applicant households by poverty interval                   |
| VI             | Number of assisted households by young child age category (Optional) |

Examples are an important part of understanding the instructions, and are included in the following sections:

| <u>Section</u> | <u>Title</u>                                                                                |
|----------------|---------------------------------------------------------------------------------------------|
| 1              | Scenarios in Counting Unduplicated Assisted Households for EACH and ANY Type of Assistance; |
| 2              | Required Data Counts of Assisted Households with Vulnerable Members;                        |
| 3              | Counting Unduplicated Households for EACH and ANY Type of Assistance; and                   |
| 4              | Requested (Optional) Counts of Assisted Young Child Households by Age Category.             |

## Section I – Number of Assisted Households

### *Households Assisted with Federal LIHEAP Funds*

Count all households assisted in FFY 2014 with **Federal** LIHEAP funds, as indicated above. Include complete data for households receiving LIHEAP weatherization assistance even if those funds were used under the Department of Energy's Low Income Weatherization Assistance Program.

### *Number of Households for EACH Type of Assistance*

As of FFY 2011, unduplicated household counts are to be reported for households that receive (**assisted**) households receive ANY type of LIHEAP assistance, as described below. Report households that received a LIHEAP basic benefit for EACH and ANY type of LIHEAP assistance in FFY 2014. Unduplicated data also must include households that receive any "other" type of LIHEAP assistance, as explained below.

State grantees are required to report unduplicated counts of the number of assisted and applicant LIHEAP households as described below. Only the number of applicant households and the number of applicant households by poverty level are to be reported for by EACH type of LIHEAP. Reporting pointers include:

- An unduplicated count of households means that households are to be counted only once for each type of LIHEAP assistance that they applied for and did or did not receive (not all households that apply receive assistance). For example, a household receives two heating assistance benefits and three winter crisis assistance benefits. Count that household once under heating assistance and once under winter crisis for both applicant and assisted households.
- A household is counted separately as a heating assistance applicant and recipient household if it receives heating assistance for example in October 2013. The household in January 2014 divides into two households, e.g., due to divorce or an adult child moving out of the house. The new household is to be counted as an applicant household and assisted household if it receives a specific type of LIHEAP assistance later in the Federal Fiscal Year.
- The count of applicant households cannot be lower than the count of assisted households. In most cases, the count of applicant households is greater than the count of assisted households, depending on a state's definition of an "applicant" household.
- A household receives "fast track" or "expedited" heating assistance in a crisis fuel situation when the grantee does not have a separate amount of funds designated for crisis fuel assistance. The expediting or fast tracking constitutes crisis intervention and the payment to the household constitutes heating assistance. Count that assisted household once under heating assistance and once under crisis assistance. Count that household as an applicant household under heating assistance only, as no crisis assistance funds were used.

### *Number of Households for ANY Type of Assistance*

Count a household once that received at least one type of LIHEAP assistance regardless of the type(s) of assistance provided to a household. For example, if a household received three heating assistance benefits, one winter crisis assistance benefit, and one cooling assistance benefit, then count that household once under ANY Type of LIHEAP assistance, regardless of whether the household received here types of LIHEAP assistance.

Table 2 provides examples for counting vulnerable households for EACH and ANY Type of Assistance as described below. The table presents scenarios of five households lettered A–E. The scenarios provide examples of reporting of unduplicated household counts for those household under EACH type of LIHEAP assistance.

**Table 2. Counting Unduplicated Numbered of Assisted Households for EACH and ANY Type of Assistance**

| Household Scenarios                                                                                                                                                             | Number of Assisted Households by Type of LIHEAP Assistance |         |                          |               |              |      |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------|---------|--------------------------|---------------|--------------|------|
|                                                                                                                                                                                 | Heating                                                    | Cooling | Winter/Year Round Crisis | Summer Crisis | Other Crisis | Wxz. |
| Household A receives three heating assistance benefits and one summer crisis assistance benefit.                                                                                | 1                                                          | 0       | 0                        | 1             | 0            | 0    |
| Household B receives a heating assistance benefit, a cooling assistance benefit, and weatherization assistance.                                                                 | 1                                                          | 1       | 0                        | 0             | 0            | 1    |
| Household C receives a winter crisis benefit, emergency replacement of its heating unit, and summer crisis assistance benefit.                                                  | 0                                                          | 0       | 1                        | 1             | 1            | 0    |
| Household D receives an “expedited” or “fast tracked” heating assistance benefit to avoid a utility shutoff.                                                                    | 1                                                          | 0       | 1                        | 0             | 0            | 0    |
| Household E receives “fast tracked” heating assistance, regular cooling assistance, summer crisis assistance, replacement of an air conditioner, and weatherization assistance. | 1                                                          | 1       | 1                        | 1             | 1            | 1    |
|                                                                                                                                                                                 |                                                            |         |                          |               |              |      |
| Unduplicated Number of Households for EACH Type of LIHEAP Assistance                                                                                                            | 4                                                          | 2       | 3                        | 3             | 2            | 2    |
| Unduplicated Number of Households for ANY Type of LIHEAP Assistance                                                                                                             | 5                                                          |         |                          |               |              |      |

The number of households counted for EACH type of LIHEAP assistance cannot be added to calculate the unduplicated number of households that receive ANY Type of LIHEAP Assistance because a household may receive more than one type of LIHEAP assistance.

**Section II - Assisted Households by Poverty Intervals for Each Type of LIHEAP Household.**

Household poverty levels must be reported according to the specified percent intervals. The number of assisted and applicant households are to be counted by poverty level for EACH Type of LIHEAP Assistance , but not for applicant and assisted households that received ANY Type of LIHEAP Assistance. Reporting pointers include the following:

- An unduplicated number of households by poverty level means that a household is to be counted only once within a poverty level for EACH type of LIHEAP assistance provided to the household. The poverty intervals for applicant households also include the category of Income Not Available. For example, a heating assisted household’s poverty level is 79%. Count that household once within the interval of 75%-100% poverty for heating assistance under both applicant household and assisted household.

- The sum of the number of assisted households across the poverty intervals must equal the total number of assisted households for each type of assistance provided by the state. If this is not the case, provide the reason in the Notes Section at the end of the Report. Identify the data variable that is being described.

### ***Uniform Counting and Reporting***

Annual gross household incomes, adjusted by the number of household members (household size), are to be used in computing household poverty percentages, using the 2013 HHS Poverty Guidelines that were in effect at the beginning of FFY 2014 (October 1, 2013). See:

<http://www.acf.hhs.gov/programs/ocs/resource/hhs-poverty-guidelines-for-optional-use-in-ffy-2013>

### ***Gross Household Income Adjusted by Household Size***

Gross household income, adjusted by household size, is to be used in calculating a household's poverty level regardless of whether net income is used to establish income eligibility for LIHEAP assistance. Count an assisted household under the poverty level which is determined by the household's **gross** annual income and the household size. Gross income is the household's income before any deductions or adjustments, such as taxes or medical costs, are made to household income. Household members represent those related and/or unrelated individuals who are living together as one economic unit for whom residential energy is customarily purchased in common or who make undesignated payments for residential energy in the form of rent. (U.S.C. 8622)

If gross household income determinations are made using less than a full year's income for a household, then annualize the months of income used, e.g., 12 times one month of household income, or four times three months of household income. Gross household income and household size also are needed for those households that are categorically eligible for LIHEAP assistance, such as households receiving Temporary Assistance for Needy Families (TANF), Supplemental Security Income (SSI), Supplementary Nutrition Assistance Program (SNAP), or certain needs-tested veterans' benefits.

A household's gross annual income and/or household size can change during the fiscal year. If a household received two benefits or services under the same type of LIHEAP assistance, use that

household's gross annual income and household size at the time of the initial determination of benefits or services in calculating that household's poverty level for statistical reporting.

### ***Calculating and Assigning Households to Poverty Percent Intervals***

The specific intervals for the poverty percents are shown in the **Long Form**. Compiling the data is best handled by computer programming. The basic steps in calculating both an applicant and assisted household's poverty level for FFY 2014 are as follows:

1. Obtain information on the household's gross income and number of members in that household. Refer to the 2013 HHS Poverty Guidelines for the state's dollar amount that constitutes 100% of the HHS Poverty Guidelines for the number of members in the household.
2. Divide the assisted household's gross income by the dollar amount equal to 100% of the 2013 HHS Poverty Guidelines, multiply the result by 100, and express the result as a rounded percent.

Based on each assisted household's calculated percent, add the applicant or assisted household under the appropriate poverty interval. For each type of assistance adding the number of assisted households by poverty intervals should result in the unduplicated number of households assisted by that type of LIHEAP assistance. If this is not the case, please note the reason. The guidance also applies to reporting the number of applicant households by poverty intervals (including applicant households with "Income data unavailable").



Some households that qualify for LIHEAP income eligibility using a household's net income can be counted in a higher poverty level using gross income. For example, a household's net income, adjusted for household size, may equal that state's income cutoff of 125% of poverty. The use of the household's gross income would most likely result in that household's classification of "126 - 150%" of poverty. To further illustrate, below are four examples of calculating and classifying a household's poverty interval.

1. A weatherization assistance household with one member residing in Pennsylvania has a gross household income of \$9,998. According to the 2013 HHS Poverty Guidelines for Pennsylvania, \$11,490 represents 100% of the Poverty Guidelines for a one one-person household. Divide the household's income of \$9,998 by \$11,490 and multiply by 100 = 87.028. Rounding off to the nearest whole percent = 87% of the 2013 HHS Poverty Guidelines. That household is classified as being within the interval of "75%-100% poverty" for weatherization assistance.
2. A heating assistance household with three members from Washington State has a gross income of \$23,900. According to the 2013 HHS Poverty Guidelines for Washington, \$19,530 represents 100% of the HHS Poverty Guidelines for a three-person household. Divide the household's income of \$23,900 by \$19,530 and multiply by 100 = 122.376%. Rounding off to the nearest whole percent = 122% of the 2013 HHS Poverty Guidelines. That household is classified as being within the interval of "101% to 125% poverty" for heating assistance.
3. A winter crisis assistance household with five members from Texas has a gross income of \$26,368. According to the 2013 HHS Poverty Guidelines for Texas, \$27,570 represents 100% of the HHS Poverty Guidelines for a five-person household. Divide the household's income of \$26,368 by \$27,570 and multiply by 100 = 95.64%. Rounding off to the nearest whole percent = 96% of the 2013 HHS Poverty Guidelines. That household is classified as being within the interval of "75% to 100% poverty" for winter crisis assistance.
4. A summer crisis assistance household with 10 members from Kansas has a gross income of \$72,131. According to the 2013 HHS Poverty Guidelines for Kansas, \$47,400 represents 100% of the HHS Poverty Guidelines for a 10-person household. Divide the household's income of \$72,131 by \$47,400 and multiply by 100 = 152.18%. Rounding off to the nearest whole percent = 152% of the 2013 HHS Poverty Guidelines. That household is classified as being within the interval of "over 150% poverty" for summer crisis assistance.

### **Section III – Number of Assisted Households by Vulnerable Populations**

An assisted household is classified as vulnerable if it has at least one household member who belongs to any of the following three groups of vulnerable households:

1. elderly, i.e., one member 60 years or older;
2. disabled (using the grantee's definition of "disabled", as the LIHEAP statute does not define the term); or
3. young child, i.e., age 5 years or under (include all children who are not yet 6 years old, that is, up to 5 years and 364 days old).

Table 3 includes scenarios about four households that provide further examples of the counting and reporting of unduplicated household counts for each group of vulnerable households.

**Table 3. Required Data Counts of Assisted Households With Vulnerable Members**

(E) elderly      (D) disabled      (C) a young child 5 years or under

| Vulnerability Group Category                                          | Household A        | Household B | Household C    | Household D    | Total number of assisted households |
|-----------------------------------------------------------------------|--------------------|-------------|----------------|----------------|-------------------------------------|
|                                                                       | Cathy--29          | Alice--46   | Andrew--42 (D) | Sylvia--23     |                                     |
|                                                                       | Frank--36          | Tom--17     | Pauline--35    | Carl--27       |                                     |
|                                                                       | Martha--67 (E)     | Fran--12    | Susan--72 (E)  | Raymond--2 (C) |                                     |
|                                                                       | George--76 (E) (D) |             | Charlie--5 (C) | Chet--4 (C)    |                                     |
| <b>REQUIRED DATA</b>                                                  |                    |             |                |                |                                     |
| Number of assisted households                                         | 1                  | 1           | 1              | 1              | 4                                   |
| <b>Number of assisted households with at least one member who is:</b> |                    |             |                |                |                                     |
| 60 years or older (E)                                                 | 1                  | 0           | 1              | 0              | 2                                   |
| Disabled (D)                                                          | 1                  | 0           | 1              | 0              | 2                                   |
| Age 5 years or under (C)                                              | 0                  | 0           | 1              | 1              | 2                                   |
| E, D, or C                                                            | 1                  | 0           | 1              | 1              | 3                                   |

***Number of Vulnerable Households by Each Vulnerable Group for EACH Type of Assistance***

Data need to be reported **separately** for each of the three vulnerable groups of households for EACH type of LIHEAP, as shown in Table 3. In calculating and reporting the data, note the following:

1. A household is to be counted for each vulnerable group in which the household has at least one member who is 60 years or older, disabled, or age 5 years or under. For example, a household receives heating assistance includes one child 2 years old, another child 4 years old, and an elderly member who also is disabled. This household would be counted once under each of the following vulnerable groups for heating assistance: 60 years or older; disabled; and age 5 or under.
2. An assisted household with two or more members in the same vulnerable group is to be counted once. For example, a household with two members who are 65 years old each would be counted once under "60 years or older."
3. The data on vulnerable groups are household counts; not the count of vulnerable persons or the number of heads of households that are vulnerable.

***Number of Vulnerable Households by Any Vulnerable Group, for EACH Type of Assistance***

For each type of LIHEAP assistance provided, include the unduplicated number of households that had at least one member belonging to any of the three vulnerable household groups. For example, if a cooling assisted household includes any vulnerable members, then count that household once under any vulnerable group (Elderly, Disabled, or Young Child) for cooling assistance.

**Number of Households by Each Vulnerable Group, for ANY Type of Assistance**

Household data are to be reported separately for each group of vulnerable households that received ANY type of LIHEAP assistance. For example, if a heating assisted household has two children under the age 5 and one person over the age of 60, then count that household under Any Type of Assistance, once under elderly, once under young child, and once under Elderly, Disabled, or Young Child. See Table 4 for examples.

**Table 4. Household Scenarios in Counting Unduplicated Vulnerable Households by EACH and ANY Type of LIHEAP Assistance**

| Household Scenarios                  |                                                                             |                                                                              |                                                                                                             |                                                                                                                                             |                                                                               |
|--------------------------------------|-----------------------------------------------------------------------------|------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------|
| Five household scenarios             | Household A<br>receives three heating benefits & one summer crisis benefit. | Household B<br>receives a heating benefit, cooling benefit, & weatherization | Household C<br>receives a winter crisis benefit, an emergency furnace replacement, & summer crisis benefit. | Household D<br>receives an "expedited" heating benefit to avoid a shutoff, summer crisis benefit, air conditioner repair, & weatherization. | Household E<br>splits from Household D & receives two winter crisis benefits. |
| Household members who are vulnerable | Cathy-29<br>Father-67                                                       | Alice-46<br>Father 61<br>Tom-17                                              | Andrew-42<br>Mother-72<br>Pauline-35                                                                        | Silvia-23<br>Ellen-8                                                                                                                        | Silvia-23<br>Ellen-5                                                          |
| EACH Type of LIHEAP Assistance       | Number of Assisted Households                                               |                                                                              |                                                                                                             |                                                                                                                                             | With anyone who is Elderly, Disabled, or Young Child                          |
|                                      | Total                                                                       | Household A - E with least one member who is                                 |                                                                                                             |                                                                                                                                             |                                                                               |
|                                      |                                                                             | Elderly                                                                      | Disabled                                                                                                    | Young Child                                                                                                                                 |                                                                               |
| HEATING                              | 3<br>A, B, D                                                                | 2<br>A, B                                                                    | 1<br>A                                                                                                      | 1*<br>B                                                                                                                                     | 2*<br>A, B                                                                    |
| COOLING                              | 1<br>B                                                                      | 1<br>B                                                                       | 0<br>--                                                                                                     | 1*<br>B                                                                                                                                     | 1*<br>B                                                                       |
| WINTER/YR-ROUND CRISIS               | 3<br>C, D, E                                                                | 1<br>C                                                                       | 1<br>C                                                                                                      | 1<br>E                                                                                                                                      | 2*<br>C, E                                                                    |
| SUMMER CRISIS                        | 3<br>A, C, D                                                                | 2<br>A, C                                                                    | 2<br>A, C                                                                                                   | 0<br>--                                                                                                                                     | 2*<br>A, C                                                                    |
| WEATHERIZATION                       | 2<br>B, D                                                                   | 1<br>B                                                                       | 0<br>--                                                                                                     | 1<br>B                                                                                                                                      | 1*<br>B                                                                       |
| <b>ANY Type of LIHEAP Assistance</b> | <b>5**</b>                                                                  | <b>3**</b>                                                                   | <b>2**</b>                                                                                                  | <b>2**</b>                                                                                                                                  | <b>4***</b>                                                                   |
|                                      | A,, B, C, D, E                                                              | A, B, C                                                                      | A, C                                                                                                        | B, E                                                                                                                                        | A, B, C, E                                                                    |

\*Do not add the separate numbers of elderly, disabled or young child households to calculate the unduplicated number of Elderly,

**Disabled, or Young Child** households for **EACH Type of LIHEAP Assistance**, as assisted households can have members counted under more than one vulnerable group.

\*\*Do not add the column of the unduplicated number of assisted households for each type of assistance to calculate the unduplicated number households for **ANY Type of Assistance**, as assisted households can be counted under more than one type of LIHEAP assistance.

\*\*\*Do not add the number of **Elderly, Disabled, or Young Child** households for each type of LIHEAP assistance to calculate the unduplicated number of **Elderly, Disabled, or Young Child** households under **ANY Type or LIHEAP Assistance**, as such households can be counted under **EACH Type of LIHEAP Assistance**.

### *Number of Households by ANY Vulnerable Group, for EACH Type of Assistance*

Count assisted households having at least one vulnerable household member for EACH Type of Assistance. Household data are to be reported separately for any assisted vulnerable households that received a specific type(s) of LIHEAP assistance. For example, if a heating assisted household has two children under the age 5 and one person over the age of 60, then count that household under Any Type of Assistance count that households under elderly and once under young child for EACH Type of Assistance received

## **IV. Number of Applicant Households**

The **Long Form** includes Sections IV and V for applicant household data. The reporting instructions on unduplicated household counts and poverty data are the same for reporting on assisted and applicant households.

The definition of "applicant" households is left to each LIHEAP grantee, as the LIHEAP statute does not define the term. Consequently, there will be variation among states in their counts due to differences in how states define "applicant" households. For example, some states may not count those households screened out before a formal LIHEAP application is completed. Also, states may not have households apply for LIHEAP once their programs close.

The count of applicant households should include the number of households that applied for EACH type of LIHEAP assistance, whether or not they actually receive LIHEAP assistance. Stated differently, the count should include the number of approved, denied, and pending applications for each type of LIHEAP assistance. This count should be greater than the count of assisted households for each specific type of LIHEAP assistance, depending on a state's definition of an "applicant" household. If this is not the case, please include a brief explanation in the notes section.

## **V. Number of Applicant Households by Poverty Intervals**

An unduplicated number of applicant households by poverty level means that an applicant household is to be counted only once within a poverty level for EACH type of LIHEAP assistance that the household applied. The poverty intervals for applicant households also include the category of Income Not Available. For example, a household applying for heating assistance has a poverty level of 79%. Count that household once within the interval of 75%-100% poverty for heating assistance under applicant households. Further information is applicable in Section II that applies to assisted households.

## VI. Number of Assisted Households by Young Child Age Category (Optional)

Both House Report 103-483 and Senate Report 103-251 on S. 2000, the predecessor to Public Law 103-252 (the Human Services Amendments of 1994), instructed the Department to develop reporting requirements that distinguish between children under 3 years of age and those 3 years through 5 years of age.

The count of assisted households with at least one child 5 years or under is **required**. Counts of assisted households with at least one child who is (a) 2 years old or under and (b) between 3 years-5 years are **requested**, i.e., **optional** data items if the grantee elects to report the data. See Table 5 for examples.

Counts of assisted households with at least one child (a) who is 2 years old or younger and (b) who is between 3 years through 5 years are **requested** (i.e., optional) data items. If reporting the requested data:

1. Count the number of assisted households with at least one child 5 years or under for each type of LIHEAP assistance provided.
2. Using those assisted households with at least one child 5 years or under, count the number of households with at least one child who is 2 years old or under.
3. Using those assisted households with at least one child 5 years or under, count the number of households with at least one child who is between 3 years through 5 years old regardless of whether those households have already been counted age 2 years or under.

The sum of the number of households with at least one child 2 years or under and the number of households with at least one child between 3 years-5 years should **be greater** than the number of households with at least one child 5 years or under.

**Table 5. Requested (Optional) Data Counts of Assisted Households with Young Children**

(C\*) a young child 2 years or under

(C\*\*) a young child between 3- 5 years

|                                   | Household <u>A</u>                                                    | Household <u>B</u>   | Household <u>C</u>            | Household <u>D</u>     |                               |
|-----------------------------------|-----------------------------------------------------------------------|----------------------|-------------------------------|------------------------|-------------------------------|
| Vulnerable Group Category         | Cathy--29<br>Frank--36                                                | Alice--46<br>Tom--17 | Andrew--42 (D)<br>Pauline--35 | Sylvia--23<br>Carl--27 | Number of assisted households |
|                                   | <b>REQUESTED DATA</b>                                                 |                      |                               |                        |                               |
|                                   | <b>Number of assisted households with at least one member who is:</b> |                      |                               |                        |                               |
| Age 2 years or under (C*)         | 0                                                                     | 0                    | 0                             | 1                      | 1                             |
| Age 3 years through 5 years (C**) | 0                                                                     | 0                    | 1                             | 1                      | 2                             |

### Notes

The Notes section is where all notes need to be entered concerning the data in the way of explanations and qualifications. Full use of the Notes can help to minimize or avoid follow up queries. Please identify which part of the LIHEAP household report that you are noting. A common practice is to add a footnote number at the end of the item and in front of the note followed by the explanation or qualification.

## **Certification**

This is where the official signing the LIHEAP Household Report clicks the “certify” and “click to sign” buttons in OLDC, which will then populate the date. Also provide the official’s name, job title, and telephone number. Please submit the completed Household Report on the On-Line Data Collection System (OLDC) at: <https://extranet.acf.hhs.gov/ssi>.

## Exhibit #1: Federal Funding Accountability and Transparency Act (FFATA) Data Form

*\*See instructions for additional information*

|                                    |  |       |  |               |  |
|------------------------------------|--|-------|--|---------------|--|
| Legal Business Name of Entity      |  |       |  |               |  |
| Doing Business As (if different)   |  |       |  |               |  |
| Street Address                     |  |       |  |               |  |
| City                               |  | State |  | Zip Code + 4* |  |
| DUNS Number*                       |  |       |  |               |  |
| Parent Organization's DUNS Number* |  |       |  |               |  |
| Principal Place of Performance*    |  |       |  |               |  |
| Contact Person's Name / Title      |  |       |  |               |  |
| Contact Person Phone Number        |  |       |  |               |  |
| Contact Person E-Mail              |  |       |  |               |  |

### Executive Compensation Information\*

*\*Complete this section if required. See instructions for additional information before completing.*

List the organization's top five most highly compensated executives for the preceding contractor fiscal year.

| Name | Amount |
|------|--------|
| 1.   |        |
| 2.   |        |
| 3.   |        |
| 4.   |        |
| 5.   |        |

### Certification:

I attest the facts stated above are true and correct.

I understand the information provided will be reported by the Department of Social Services to the FFATA Subaward Reporting System (FSRS) and the information will be accessible to the public.

\_\_\_\_\_

Authorized Representative's Signature

\_\_\_\_\_

Printed Name

\_\_\_\_\_

Title

\_\_\_\_\_

Date

## **Instructions for Completing the FFATA Data Form**

### **Zip Code + 4**

This is the four digit zip code extension available at <http://zip4.usps.com/zip4/welcome.jsp>

### **DUNS Number**

Dun & Bradstreet (D&B) provides a D-U-N-S Number, a unique nine digit identification number, for each physical location of your business.

DUNS Number assignment is FREE for all businesses required to register with the US Federal government for contracts or grants. See <http://fedgov.dnb.com/webform>

### **Parent Organization's DUNS Number**

Complete if applicable. This is typically used by large organizations with multiple facilities in several locations. The parent organization's number is number assigned to the headquarters for the operation.

### **Principal Place of Performance**

Complete if the primary place of performance is different than the address listed above.

### **Executive Compensation Information**

*Review the following questions to determine whether you are required to report executive compensation information.*

1. In your preceding completed fiscal year, did your business or organization receive:
  - a. 80 percent or more of its annual gross revenues from federal procurement contracts (and subcontracts), and federal financial assistance subject to the Transparency Act, as defined in 2 CFR 170.320; and
  - b. \$25,000,000 or more in annual gross revenues from federal procurement contracts (and subcontracts), and federal financial assistance subject to the Transparency Act?

Yes       No

*Note: If the answer to either Question 1a or 1b is "No", your organization's compensation information is not required. Do not complete the Executive Compensation Information section of the FFATA Data Form.*

**Note: If the answer to both 1a and 1b is "Yes", proceed to Question 2.**

2. Does the public have access to the information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 [15 U.S.C. 78M(a), 78o(d)] or section 6104 of the Internal Revenue Code of 1986? *(To determine if the public has access to the compensation information, see the U.S. Securities and Exchange Commission's total compensation filings at <http://www.sec.gov/answers/excomp.htm>*

Yes       No

*Note: If the answer to Question # 2 is "Yes", your organization's executive compensation information is not required.*

**Note: If the answer to Question #2 is "No", you are required to complete the Executive Compensation Information section of the FFATA Data Form.**

### **Definitions**

"Executive" means officers, managing partners, or any other employees in management positions.

"Total compensation" means the cash and non-cash dollar value earned by the executives during the preceding fiscal year and includes items such as salary, bonuses, stock awards, incentive plans, pension plans, deferred compensation, etc.

Additional information about reporting compensation is available at:

[https://www.fsrs.gov/documents/OMB\\_Guidance\\_on\\_FFATA\\_Subaward\\_and\\_Executive\\_Compensation\\_Reporting\\_0827\\_2010.pdf](https://www.fsrs.gov/documents/OMB_Guidance_on_FFATA_Subaward_and_Executive_Compensation_Reporting_0827_2010.pdf).