

LIHEAP Grantee Survey:

List of Checks to Complete Before Submission

This document provides a list of items to check before submission of the Grantee Survey portion (Module 1) of your annual *LIHEAP Performance Data Form*. If you can answer “yes” to all of the following questions, then you are ready to certify and submit the Grantee Survey (Module 1).

<u>General Checks</u>			
1.	<p>Does the information you reported represent annual data for the entire federal fiscal year (October 1st to September 30th)?</p> <p>The data you used to complete this form should be data for the 12-month federal fiscal year period (October 1st to September 30th), even if your program operates according to a different fiscal year schedule.</p>	YES	NO
2.	<p>Is the information you reported based on current data, rather than preliminary estimated data?</p> <p>The information you report in your Grantee Survey should be based on actual current estimates available at the time you complete the report. Note: The Grantee Survey is not an audit report and is intended for collecting the best available information at the time the report is completed.</p>	YES	NO
3.	<p>If you obligated or carried over all funds available for the fiscal year, do your estimated sources of funds equal your estimated uses of funds?</p> <p>The Grantee Survey asks you to confirm all funds available for obligation in a fiscal year in Section III, and then it asks you to confirm all how those available funds were obligated for specific categories of use. The estimated total sources of funds (Section III, last item) should be equal to the estimated total uses of funds (Section IV, last item).</p> <p>If the sum of Section IV is not equal to the sum of Section III, it indicates an issue where some amount of funds is incorrect. If you have additional uses of funds not reported in a Section IV line (such as unobligated funds that were returned to the federal government), you should include a note in the “Notes” section to explain this discrepancy and the additional use of funds not reported in a report line.</p>	YES	NO
4.	<p>Have you included any important information for understanding or interpreting your data in the “Notes”?</p> <p>The “Notes” portion of the form should contain your responses to any warning messages you received when submitting your report, as well as descriptions of</p>	YES	NO

	any data anomalies or important program changes or characteristics relevant to the data.	
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Section III “Estimated Sources of LIHEAP Funds”

5.	<p>Is the carryover amount for <i>All Funds Carried Over from Previous FFY</i> equal to the carryover amount reported in your previous fiscal year’s <i>Carryover and Reallotment Report</i>?</p> <p>If your program has funds that were carried into the fiscal year from the previous fiscal year, the carryover amount reported in <i>All Funds Carried Over from Previous FFY</i> (Section III) should generally be consistent with the carryover amount reported in the previous fiscal year’s <i>Carryover and Reallotment Report</i>. If the amount in your current report is correct but differs from the reported amount in your previous year’s <i>Carryover and Reallotment Report</i>, you should provide a short explanation.</p>	YES	NO
6.	<p>Is the carryover amount reported in Section III equal to the amount you reported in your previous fiscal year’s Grantee Survey in Section IV (Funds to be carried over to the next year)?</p> <p>If your program has funds that were carried over to the fiscal year from the previous fiscal year, the carryover amount reported in <i>All Funds Carried Over from Previous FFY</i> (Section III) should be consistent with the carryover amount reported in <i>FFY Unobligated Funds Carried Over to next FFY</i> (Section IV) of the previous fiscal year’s Grantee Survey. If the amount in your current report is correct, but differs from the reported amount in the previous year’s Grantee Survey, you may need to submit a revision of the previous year’s Grantee Survey.</p>	YES	NO

Section IV “Estimated Uses of LIHEAP Funds”

7.	<p>Are you reporting obligation dollar amounts in the first column of Section IV?</p> <p>The reported dollar amounts in the first column of Section IV should reflect the amount of available funds <i>obligated</i> towards a given type of assistance or for a specific category of use during the federal fiscal year. The definition of obligation is defined by each grant recipient, and “obligating” is often distinct from “expending” funds. For example, you may obligate \$10 million for heating assistance, but expend \$8 million during the fiscal year (expending the rest</p>	YES	NO
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	<p>later). You would report \$10 million in Section IV for heating assistance because that was the amount obligated.</p> <p>Any remaining funds not obligated should be reported on the carryover funds line(s) or explained in the notes.</p>	
8.	<p>If you reported assisting households with a program component in your <i>LIHEAP Household Report</i>, did you also report the total obligated funds for that program component in your Grantee Survey?</p> <p>If you reported assisting households with a type of assistance in your <i>LIHEAP Household Report</i>, you should report the total obligated funds for that type of assistance in your Grantee Survey. If you used funds from one program component to serve households with another program component, or if households were served with prior year funds, please provide a note in the “Notes” section to explain this.</p>	YES NO
9.	<p>If you reported that funds were obligated for a program component, did you confirm that your <i>LIHEAP Model Plan</i> indicates that your program includes those program components?</p> <p>If you reported funding for a program component in your Grantee Survey, your <i>LIHEAP Model Plan</i> should indicate that these program components are included in your program. If your Grantee Survey and <i>LIHEAP Model Plan</i> are not consistent, you may need to revise your <i>LIHEAP Model Plan</i> to indicate how your program operated during the fiscal year.</p>	YES NO
10.	<p>If you reported that funds were obligated for a program component, did you report the average household benefit and the maximum annual dollar income for a 4-person household?</p> <p>If you reported funds were obligated for a type of assistance, you should be able to report the average household benefit and the maximum annual dollar income for a 4-person household for that type of assistance.</p>	YES NO
11.	<p>If you reported obligating funds for Weatherization Assistance Benefits, is the calculated average household benefit less than \$10,000? If it is greater than \$10,000, did you address this issue in the “Notes” section?</p> <p>You should calculate the average household benefit for weatherization assistance by dividing the total funds reported for weatherization in your Grantee Survey by the number of households served with weatherization (reported in your <i>LIHEAP Household Report</i>). If the average household weatherization benefit is greater than \$10,000, you should include a note in the “Notes” section confirming that that is the correct amount and explaining why the average weatherization benefit is above \$10,000.</p>	YES NO

12.	<p>Do the maximum annual dollar income amounts for each type of assistance match the income guidelines that you have indicated in your <i>LIHEAP Model Plan</i>?</p> <p>If not, you should determine if your maximum annual dollar income amounts are correct or incorrect in your <i>LIHEAP Model Plan</i> based on how your program operated. If the <i>LIHEAP Model Plan</i> amounts are incorrect, you should modify your <i>LIHEAP Model Plan</i> to reflect the maximum annual dollar income amounts that your program operated with during the fiscal year. If your <i>LIHEAP Model Plan</i> is correct, you should update the maximum income amounts in your Grantee Survey so that they are correct.</p>	YES	NO
13.	<p>Is the carryover amount to the next federal fiscal year you report equal to the carryover amount reported in the <i>Carryover and Reallotment Report</i>?</p> <p>The carryover amount to the next fiscal year reported in your Grantee Survey should be equal to the carryover amount to the next fiscal year reported in your <i>Carryover and Reallotment Report</i>. If the carryover amount in your Grantee Survey is correct, but different from the <i>Carryover and Reallotment Report</i>, you may need to submit a revision of your <i>Carryover and Reallotment Report</i>.</p>	YES	NO
14.	<p>Are your Administration/Planning Costs less than 10% of funds payable?</p> <p>Administration/Planning Costs should not be greater than 10% of funds payable. If your reported amount does exceed 10% of funds payable and you confirmed that this amount is correct, please provide a note in the “Notes” section explaining why this is the case.</p>	YES	NO
15.	<p>Is the amount reported for Weatherization Assistance Benefits less than 15% of funds payable, or less than 25% of funds payable if you received a waiver from HHS?</p> <p>The amount you reported for Weatherization Assistance Benefits should not be greater than 15% of funds payable unless you received a waiver to obligate up to 25% of funds payable to weatherization. If you received a weatherization waiver, please include this in the “Notes” section. If your reported amount does exceed these limits and you confirmed that this amount is correct, please provide a note in the “Notes” section explaining why this is the case.</p>	YES	NO
16.	<p>Is the amount reported for Assurance 16 Activities less than 5% of funds payable?</p> <p>Costs for Assurance 16 Activities should not be greater than 5% of funds payable. If your reported amount does exceed 5% of funds payable and you confirmed that this amount is correct, please provide a note in the “Notes” section explaining why this is the case.</p>	YES	NO

17.	<p>Is the carryover amount to the next federal fiscal year no more than 10% of funds payable?</p> <p>In general, the carryover amount to the next federal fiscal year should not exceed 10% of funds payable unless HHS has specified other rules for supplemental funding releases. If your program had unobligated funds that exceeded the 10% or other specified carryover limit, you should have returned the excess funds to the federal government. These funds should not be reported in any fields in Section IV and should instead be explained in the “Notes” section.</p>	YES	NO
18.	<p>If you returned unobligated funds to the federal government, did you report this issue in the “Notes” section and exclude the amount from any of the fields in Section IV?</p> <p>If your program had unobligated funds that exceeded the 10% carryover limit, you should have returned the excess funds to the federal government. These funds should not be reported in any fields in Section IV and should instead be explained in the “Notes” section. If funds were returned, your estimated sources of funds will <u>not equal</u> your estimated uses of funds, and the difference between the sources of funds and uses of funds should be equal to the amount returned to the government.</p>	YES	NO