

LOW INCOME HOME ENERGY ASSISTANCE PROGRAM

Report to Congress for Fiscal Year 2016

U.S. DEPARTMENT OF
HEALTH AND HUMAN SERVICES
Administration for Children and Families
Office of Community Services
Division of Energy Assistance



ADMINISTRATION FOR
CHILDREN & FAMILIES

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Acronyms

ACF	Administration for Children and Families
ASEC	Annual Social and Economic Supplement to the CPS
AT	Action Transmittal
Btu	British thermal unit
CFR	Code of Federal Regulations
CPS	Census Bureau's Current Population Survey
CR	Continuing Resolution
DEA	Division of Energy Assistance
DOE	Department of Energy
EIA	Energy Information Administration
FR	Federal Register
FY	Federal Fiscal Year (October 1–September 30)
HHS	Department of Health and Human Services
HHSPG	HHS Poverty Guidelines
LIEAP	Low Income Energy Assistance Program
LIHEAP	Low Income Home Energy Assistance Program
LPG	Liquefied petroleum gas (typically propane or butane)
MIS	Management information system
MMBtu	Millions of Btus
NA	Not applicable
NC	Not calculated
NCAT	National Center for Appropriate Technology
NEADA	National Energy Assistance Directors' Association
NEUAC	National Energy and Utility Affordability Coalition
OBRA	Omnibus Budget Reconciliation Act of 1981
OCS	Office of Community Services
OMB	Office of Management and Budget
P.L.	Public Law
PMIWG	Performance Measures Implementation Work Group
PMW	LIHEAP Performance Management Website
REACH	Residential Energy Assistance Challenge Program

LIHEAP Report to Congress for Fiscal Year 2016: Acronyms

RECS	EIA's Residential Energy Consumption Survey
SMI	State median income
SNAP	Supplemental Nutrition Assistance Program
T&TA	Training and technical assistance
TANF	Temporary Assistance for Needy Families

Executive Summary

The Low Income Home Energy Assistance Program (LIHEAP) is authorized by title XXVI of the Omnibus Budget Reconciliation Act of 1981 (OBRA), Public Law (P.L.) 97-35, as amended, 42 U.S.C. § 8621 *et seq.* LIHEAP is a block grant program administered by the U.S. Department of Health and Human Services (HHS). The purpose of LIHEAP is “to assist low-income households, particularly those with the lowest incomes, that pay a high proportion of household income for home energy, primarily in meeting their immediate home energy needs.” The LIHEAP statute defines “home energy” as “a source of heating or cooling in residential dwellings.”

Program Fiscal Data

LIHEAP assistance was provided in fiscal year (FY) 2016 through LIHEAP block grants made by HHS to the following grant recipients:

- Fifty states and the District of Columbia (except where otherwise indicated, “states” consist of the 50 states and the District of Columbia).
- One hundred fifty Indian tribes and tribal organizations (tribes).
- Five U.S. territories (American Samoa, Commonwealth of Puerto Rico, Guam, Northern Mariana Islands, and U.S. Virgin Islands).

Sources of Program Funding

The Consolidated Appropriations Act, 2016 (P.L. 114-113) was signed into law on December 18, 2015. This Act provided funds for LIHEAP in FY 2016.

In total, \$3.39 billion was appropriated to LIHEAP. Of this amount, (1) \$491 million was allocated under the “new formula”; (2) \$2.877 billion was allocated under the “old formula”; (3) \$2,988,000, was set aside for training and technical assistance (T&TA) activities; and (4) \$19.473 million was transferred to other HHS programs to meet critical needs.¹ P.L. 114-113 authorizes the Secretary of HHS to transfer up to 1 percent of any discretionary funds between appropriations.

As shown in Figure 1, regular block grant funds provided the largest share of federal LIHEAP funds available to states for FY 2016. FY 2015 carryover funds provided the next largest share, followed by FY 2015 reallocation funds.

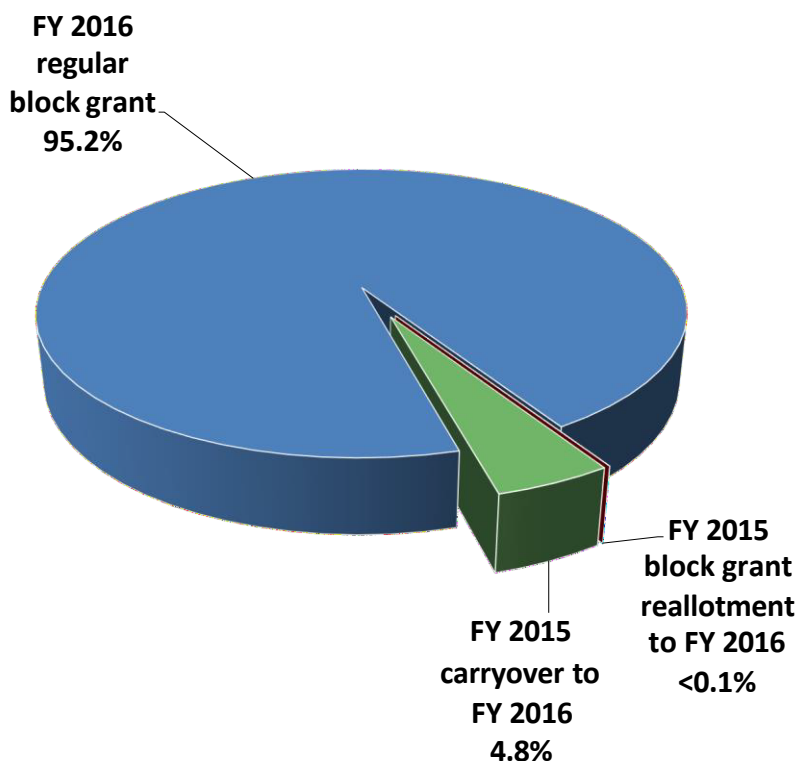
The sources of LIHEAP funding in FY 2016 included the following:

- Regular block grant allocations: 51 states received approximately \$3.3 billion.
- Block grant reallocation funds: 51 states received approximately \$1.2 million.

¹ The difference between the “old formula” and the “new formula” is described in greater detail on page 8.

- Funds carried over from the previous fiscal year: 46 states carried over approximately \$167 million.

Figure 1. Percent of Federal LIHEAP Funds Available to the States, by Source, FY 2016^a



^a The FY 2015 carryover data in this figure are current as of May 31, 2017.

Uses of Program Funds

As authorized by LIHEAP statute, states used available LIHEAP funds in FY 2016 for the following activities:

- Heating assistance: 51 states obligated an estimated \$1.8 billion.
- Cooling assistance: 19 states obligated an estimated \$243 million.²
- Energy crisis intervention or crisis assistance: 49 states obligated a separate \$607 million (estimated) for winter crisis, year-round crisis, summer crisis, or other crisis assistance

² One state (North Dakota) provided non-crisis cooling equipment repair and replacement services to households and reported the households served under cooling assistance, but obligated funding under emergency cooling equipment repair and replacement.

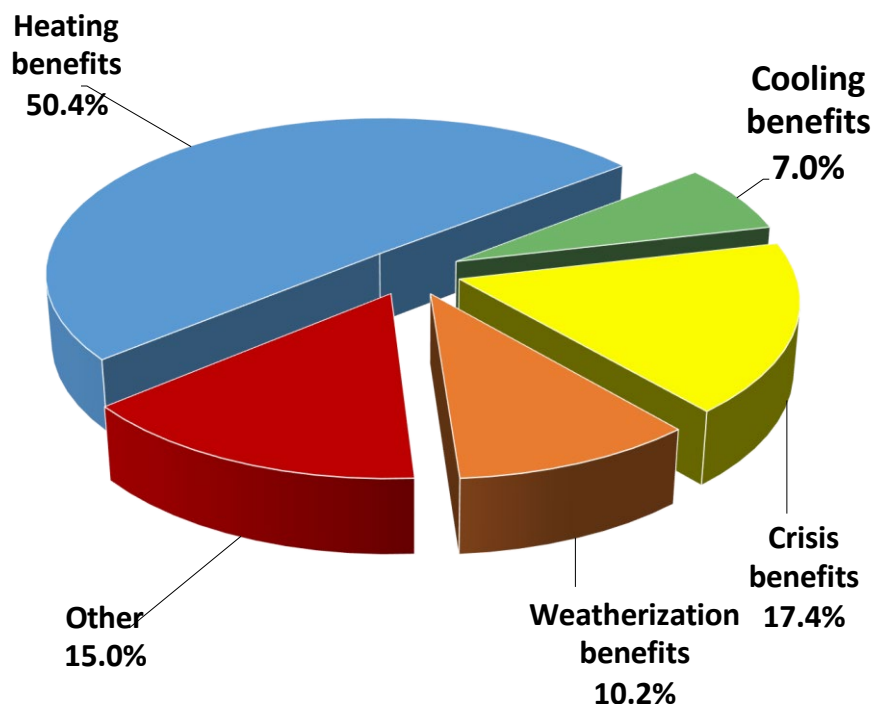
(excluding expedited access to heating assistance through heating assistance funding only).

- Low-cost residential weatherization or other energy-related home repair: 48 states obligated an estimated \$356 million.
- Administrative and planning costs: 51 states obligated an estimated \$289 million.
- Carryover of funds to FY 2017: 45 states carried over an estimated \$163 million of unobligated FY 2016 funds into FY 2017.³
- Development of leveraging resources: three states obligated an estimated \$130,000.
- Assurance 16 activities: 25 states obligated an estimated \$40 million.
- LIHEAP Management Information Systems (MIS): five states obligated an estimated \$7 million.
- Nominal payments: nine states obligated an estimated \$21 million.

As shown in Figure 2, 85 percent of LIHEAP funds were obligated by states for home energy benefits, with the largest portion spent on heating benefits.

³ Carryover to FY 2017 includes \$2,419,841 of unobligated FY 2016 LIHEAP funds in excess of carryover limitations which three states (Arkansas, Georgia, and Vermont) returned to the federal government.

Figure 2. LIHEAP Assistance Uses, as a Percent of Total Funding, FY 2016^a



^a Note. “Other” includes administrative funds (8.3 percent of total), funds carried over from FY 2016 to FY 2017 (4.7 percent of total), Assurance 16 activities (1.2 percent of total), nominal payments (0.6 percent of total), development of leveraging resources (less than 0.1 percent of total), and funds used for management information systems (MIS) in Delaware, Kansas, Minnesota, Montana, and Pennsylvania (0.2 percent of total).

Home Energy Data

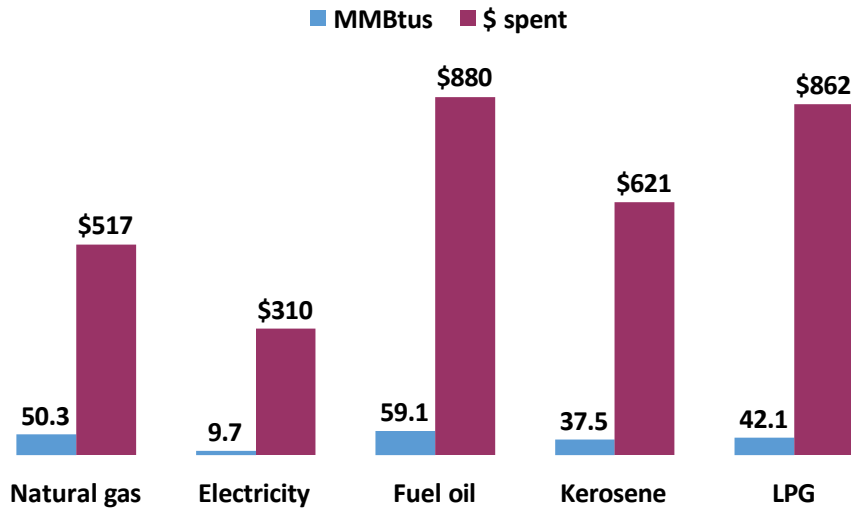
LIHEAP assists households with the portion of residential energy costs attributable to home heating and cooling. Home heating and cooling represented about 34 percent of low-income households’ residential energy expenditures in FY 2016. Appliances, such as lights and cooking but not refrigeration, accounted for about 43 percent of such households’ residential energy expenditures. Water heating represented about 15 percent of such households’ residential energy expenditures, and refrigeration represented about 9 percent.

Of LIHEAP recipient households, the rates of primary home heating fuel usage in 2009 were as follows: 49.2 percent used natural gas, 29.3 percent used electricity, 11.3 percent used fuel oil, 1.1 percent used kerosene, 5.0 percent used liquefied petroleum gas (LPG), and 2.7 percent used some other form of heating such as wood or coal.⁴

⁴ Data are derived from the 2009 Residential Energy Consumption Survey (RECS), which is the most recent available to ACF. These data represent main heating fuel used in 2009. The sum of the percentages across fuel types may not equal 100 due to rounding.

Figure 3 shows the average yearly dollars spent and energy consumed by LIHEAP recipient households for their main heating source. Energy consumed is presented in millions of British thermal units (MMBtus). A British thermal unit (Btu) is the amount of energy necessary to raise the temperature of 1 pound of water 1 degree Fahrenheit.

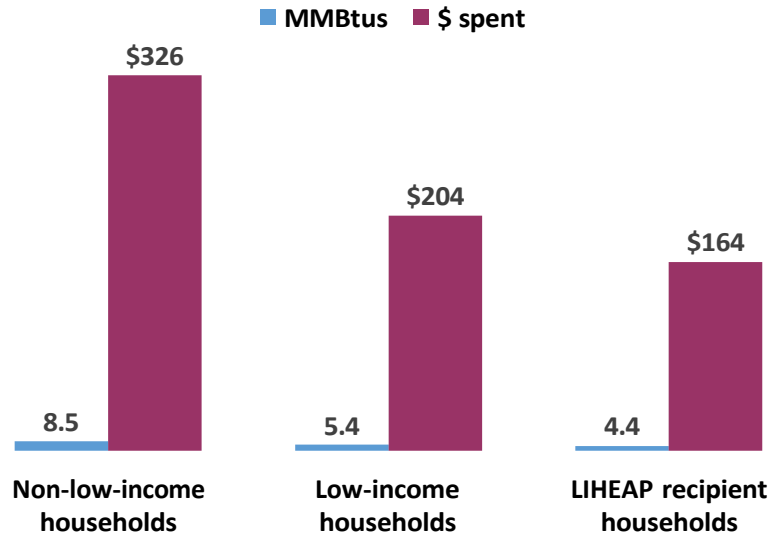
Figure 3. Average Yearly LIHEAP Recipient Households' Heating Consumption and Expenditures, by Main Heating Fuel Type, FY 2016^a



^a Data for LIHEAP recipient households using kerosene main heat should be viewed with caution because of the small number of sample cases.

Based on the unadjusted 2009 Residential Energy Consumption Survey (RECS) data, 88.6 percent of LIHEAP recipient households cooled their homes, compared with 94.3 percent of non-low-income households. As shown in Figure 4, in FY 2016 LIHEAP recipient households consumed, on average, the least amount of energy and spent the least amount of money per year on cooling their homes, compared to other household groups. As referred to here, “cooling” includes room or central air conditioning, as well as non-air-conditioning devices, such as ceiling fans and evaporative coolers.

Figure 4. Average Yearly Cooling Consumption and Expenditures, by Household Group, FY 2016



Household Data

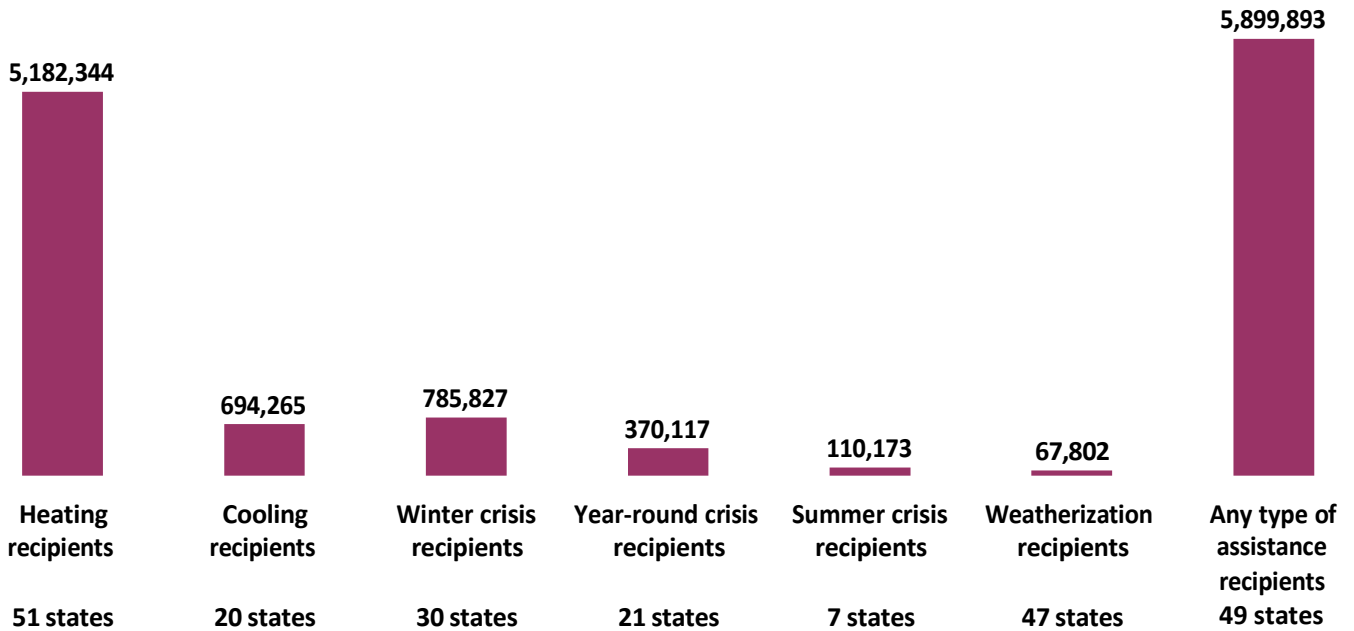
State-specific data on LIHEAP recipient households are derived from each state’s *LIHEAP Household Report for FY 2016*.

Number of Households

Figure 5 displays the number of households that received each type of LIHEAP assistance and the number of states that provided each type of assistance. Beginning in FY 2011, HHS asked states to report an unduplicated count of households receiving “any type of LIHEAP assistance,” HHS calculated an approximate national total of such households in FY 2016 even though two states were unable to report a reliable unduplicated count of such households.

Figure 5. Number of LIHEAP Recipient Households, by Type of Assistance and Number of States, FY 2016^a

Table III-2.



^a The data in this table are current as of May 31, 2017. Winter crisis recipients includes data for households assisted by two states that provide winter crisis fuel assistance solely by expediting heating assistance. The count of states that reported households receiving any type of assistance, and the household count itself, exclude two states that at the time lacked the capacity to report such data. Forty nine out of 51 states reported any type of assistance data.

The estimated number of income-eligible households in FY 2016 include:

- 37.1 million households had incomes at or under the federal income maximum standard of the greater of 150 percent of HHS Poverty Guidelines (HHSPG) or 60 percent of state median income (SMI).
- 30.4 million households had incomes at or under the stricter state income standards that can range from 110 percent of HHSPG to the federal income maximum, as adopted by states.

Previous state estimates indicate that about two-thirds of the national total of households receiving winter crisis assistance or year-round crisis assistance also received regular heating assistance. Accounting for this overlap among households receiving both types of assistance, an estimated 5.6 million households received help with heating costs through heating assistance, winter crisis assistance, or year-round crisis assistance in FY 2016, compared to 6.0 million households in FY 2015.

The 5.6 million households who received help with heating costs through heating assistance, winter crisis assistance, or year-round crisis assistance in FY 2016 represent about 15 percent of all households with incomes under the federal income maximum, and about 18 percent of all households with incomes under the stricter income standards adopted by many states.

The Food and Nutrition Act of 2008, 7 U.S.C. § 2014(5)(e)(6)(C)(iv), as amended by Section 4006 of the Agricultural Act of 2014 (P.L. 113-79), allows states to link a nominal LIHEAP benefit to the heating or cooling standard utility allowance (HCSUA) provided to households receiving benefits from the U.S. Department of Agriculture’s Supplemental Nutrition Assistance Program (SNAP). A household must receive more than \$20 annually in LIHEAP benefits to qualify for the SNAP HCSUA. Nine states provided nominal LIHEAP benefits totaling an estimated \$21,422,816 to 922,922 households in FY 2016. The number of households assisted with SNAP nominal benefits is not included in data about total households assisted.

Income Levels of Households

Overall, households that received heating assistance were among the poorer households of the LIHEAP income-eligible population. The median household poverty level of LIHEAP heating assistance recipient households was 86.1 percent of HHSPG. By contrast, the median household poverty level of LIHEAP income-eligible households, under the federal income maximum (the greater of 150 percent of HHSPG or 60 percent of SMI), was 114.7 percent of HHSPG.

LIHEAP Benefit Levels

There was variation in states’ FY 2016 average household benefit levels for the various types of LIHEAP fuel assistance. The average household benefit level for cooling assistance was \$350 and the average household benefit level for heating assistance was \$339, which increased to \$397 when heating and winter and/or year-round crisis assistance benefits were combined to account for the overlap in households receiving both heating assistance benefits, and fuel crisis benefits for heating purposes.

LIHEAP Offset of Average Heating Costs

The percentage of household heating expenditures offset by LIHEAP benefits increased from 53.8 percent in FY 2015 to 79.6 percent in FY 2016. The increase in the offset stemmed from a decrease in home heating expenditures in FY 2016, resulting from a warmer winter.

Presence of Older Adults, Members with a Disability, and Young Children

About 36.6 percent of the households receiving heating assistance had at least one member aged 60 years or older. This is below the proportion of LIHEAP federal income-eligible households—those eligible under the federal income maximum—that had at least one member aged 60 years or older (42.4 percent).

About 39.6 percent of households receiving heating assistance included at least one member with a disability. This is above the proportion of federal LIHEAP income-eligible households—those eligible under the federal income maximum—that had at least one member with a disability (29.1 percent). State definitions of “disability” vary.

About 18.1 percent of households receiving heating assistance included at least one child aged 5 years old or younger. This is above the proportion of LIHEAP federal income-eligible

households—those eligible under the federal income maximum—that had at least one member aged 5 years old or younger (16.7 percent).

Of the about 5.2 million households that received heating assistance in FY 2016, about 3.7 million households had at least one member who is an older adult, a member with a disability, or a young child (vulnerable member).

The types of LIHEAP assistance of which each vulnerable population group had the highest incidence were as follows: Weatherization assistance for older adult households, cooling assistance for member of a disability household, and year-round crisis assistance for young child households.

Program Integrity

HHS took major steps in FY 2016 to work with states to prevent waste, fraud, and abuse and to ensure LIHEAP integrity. It continued to require all grant recipients to respond to program integrity related questions in their LIHEAP plans, which describes a wide range of state strategies for maintaining the integrity of the program, including preventing and detecting fraud. It also conducted 14 on-site reviews and 2 remote reviews of LIHEAP at the state and tribal level.

Program Measurement Data

HHS tracked LIHEAP performance according to the following objectives:⁵

- LIHEAP’s targeting of young child households with heating assistance.
- LIHEAP’s targeting of older adult households with heating assistance.

LIHEAP met its FY 2016 performance goal for targeting heating assistance to older adult households and its FY 2016 performance goal for targeting heating assistance to households with a young child. The targeting of older adult households increased from an index score of 74 in FY 2010 to 84 in FY 2013 before decreasing to an index score of 80 in FY 2014. In FY 2015, the targeting index score for older adult households increased to 81, and in FY 2016 the targeting index score increased to an index score of 86, exceeding the target score of 81 for the fiscal year.

In FY 2010 and FY 2011, LIHEAP met its performance goals for targeting young child households but fell short of the performance goals for targeting young child households in each year from FY 2012 to FY 2015, with the exception of FY 2013 when the performance goal for targeting young child households was met. In FY 2015, the program achieved an indexed score of 107 with a target of 112 based on achievements in FY 2014. In FY 2016, the targeting index score for young child households increased to 108, exceeding the target score of 107 based on FY 2015 achievement.

⁵ Further LIHEAP information is available in HHS’ [FY 2016 Annual Performance Report and Performance Plan](#).

LIHEAP supports Objective B of HHS’s Goal 3: Promote economic and social well-being for individuals, families, and communities.⁶ However, the indicators that HHS uses to measure LIHEAP’s performance, the young child and older adult reciprocity targeting indexes, serve only as proxies for LIHEAP’s outcomes. Beginning in FY 2016, HHS required state grant recipients and the District of Columbia (“state grant recipients”) to collect and report data for four new developmental performance measures: (1) the benefit targeting index for high-burden households; (2) the burden-reduction targeting index for high-burden households; (3) the number of occurrences where LIHEAP benefits restored home energy services; and (4) the number of occurrences where LIHEAP prevented the loss of home energy services. These measures will help HHS and state grant recipients to understand impacts of the program and to evaluate potential additional performance goals in the future.

⁶ The full list of HHS’ strategic goals and objectives for FY 2016 appears in the document [HHS Strategic Plan FY 2014 – 2018](#).

Introduction

The Low Income Home Energy Assistance Program (LIHEAP) is one of seven block grants originally authorized by the Omnibus Budget Reconciliation Act of 1981 (OBRA), Public Law (P.L.) 97-35, as amended, 42 U.S.C. § 8621 *et seq.* Implementation of LIHEAP is governed by regulations applicable to these block grant programs, as published at 45 Code of Federal Regulations (CFR) Part 96. LIHEAP is administered by the Division of Energy Assistance (DEA), which is a division of the Office of Community Services (OCS) of the Administration for Children and Families (ACF) within the U.S. Department of Health and Human Services (HHS).

The program's purpose is to assist low-income households that spend a high proportion of household income to meet their immediate home energy needs.

Purpose of Report

HHS has submitted annual reports to Congress on its energy assistance programs, beginning with the report for fiscal year (FY) 1981. It is submitted in accordance with Section 2610 of the Low-Income Home Energy Assistance Act of 1981 (the LIHEAP Act), as amended, 42 U.S.C. § 8629.

Section 2610 of the LIHEAP Act states the following ("Secretary," when presented in this section without additional context, refers to the Secretary of Health and Human Services):

- (a) The Secretary, after consultation with the Secretary of Energy, shall provide for the collection of data, including--
 - (1) information concerning home energy consumption;
 - (2) the amount, cost and type of fuels used for households eligible for assistance under this title;
 - (3) the type of fuel used by various income groups;
 - (4) the number and income levels of households assisted by this title;
 - (5) the number of households which received such assistance and include one or more individuals who are 60 years or older or disabled or include young children; and
 - (6) any other information which the Secretary determines to be reasonably necessary to carry out the provisions of this title. Nothing in this subsection may be construed to require the Secretary to collect data which has been collected and made available to the Secretary by any other agency of the Federal Government.
- (b) The Secretary shall, no later than June 30 of each fiscal year, submit a report to the Congress containing a detailed compilation of the data under subsection (a) with respect to the prior fiscal year, and a report that describes for the prior fiscal year--

- (1) the manner in which States carry out the requirements of clauses (2), (5), (8), and (15) of section 2605(b); and
- (2) the impact of each State's program on recipient and eligible households

Data Caveats

This report contains a large amount of data. The following caveats are noted about the data:

- Data from national household surveys are subject to sampling and non-sampling error(s).⁷ In addition, some data may not be reported because of large sampling error(s) or small numbers of sampled households.
- Previous state estimates indicate that about two-thirds of the national total of households receiving winter or year-round crisis assistance also received regular heating assistance. Based on this overlap among households receiving both types of assistance, this report provides estimates of the number of households that received help with heating costs. This number is therefore greater than the number of households that received only heating assistance.
- Fiscal data reported by these states are estimates of the sources and uses of LIHEAP obligated funds.⁸ As estimates, the data are subject to change. The Department finds these estimates to be reasonably accurate guides to actual performance. Also, comparison of state fiscal estimates should be viewed cautiously as uniform definitions were not imposed on the states.
- LIHEAP household data reported by the states are not limited to households assisted with FY 2016 regular LIHEAP allotments but also include those households which were assisted in FY 2016 with LIHEAP funds from the following sources: FY 2015 regular LIHEAP allotments carried over to FY 2016 and obligated FY 2015 LIHEAP funds expended in FY 2016.
- Additional tables showing state-level analyses of households receiving assistance, program funding, and program requirements are provided in the following supplemental documents located on the [LIHEAP Reports to Congress page of ACF's website](#):
 - Supplemental Tables: Sources of Funds;
 - Supplemental Tables: Uses of Funds;
 - Supplemental Tables: Assisted Households with Detailed Footnotes;
 - Supplemental Tables: Average Household Benefits with Detailed Footnotes;

⁷ Sampling error is the result of chance error that results in estimating data, such as household income, from a sample rather than a complete count. Non-sampling error is the result of error that may occur during the data-collection and processing phases of survey data.

⁸ Most obligated funds are expended during the fiscal year. However, remaining obligated funds can be expended in the following fiscal year.

- Supplemental Tables: Assisted Households by Poverty Level;
- Supplemental Tables: Assisted Households by Vulnerability; and
- Supplemental Tables: State Maximum LIHEAP Income Eligibility Standards.
- Information on data-collection activities is included in [Appendix A](#).
- Throughout the report, table and figure formats have been modified to ensure that the document is compliant with the accessibility standards of Section 508 of the Rehabilitation Act of 1973, as amended, 29 U.S.C. § 794d.

I. Fiscal Data

Part I provides a national overview of the sources and uses of FY 2016 LIHEAP funds.

Sources of Federal LIHEAP Funds

LIHEAP appropriations were available to LIHEAP grant recipients to assist eligible households for FY 2016, as described below. The distribution of such appropriations is displayed in Table I-1. Other sources of federal LIHEAP funds also were available to LIHEAP grant recipients to assist eligible households for FY 2016, as described below and displayed in Table I-2 (See Table I-3 for state-specific estimates of federal LIHEAP funds available to states).

Regular Block Grant Allocations

The President signed the Consolidated Appropriations Act of 2016 (P.L. 114-113) on December 18, 2015. This Act appropriated FY 2016 funds for federal agencies including HHS. One provision of P.L. 114-113 appropriated \$3,390,304,000 in LIHEAP regular block grant funds.

P.L. 114-113 also raised the amount available for training and technical assistance (T&TA) to \$2,988,000. HHS set all such funds for LIHEAP T&TA purposes. See the section titled *Training and Technical Assistance Projects for FY 2016* for more background on T&TA activities.

The Secretary of Health and Human Services transferred \$19,473,000 to other HHS programs to meet critical needs, as authorized by the Consolidated Appropriations Act of 2016.

After setting aside funds for T&TA and transferring funds to other HHS programs to meet critical needs, HHS distributed the remaining \$3,367,843,000 to the following entities:

- Fifty states and the District of Columbia (except where otherwise indicated, “states” refers to the 50 states and the District of Columbia).
- One hundred fifty direct-funded Indian tribes and tribal organizations (tribes).
- Five U.S. territories (American Samoa, Commonwealth of Puerto Rico, Guam, Northern Mariana Islands, and U.S. Virgin Islands).

There was \$340.36 in unobligated FY 2016 regular block grant funds, all from T&TA. This resulted in an overall total of effectively \$3,370,830,660.64 in obligated funds.

LIHEAP Training and Technical Assistance Funds

Section 2609A of the LIHEAP Act, 42 U.S.C. § 8628a, authorizes the Secretary to set aside up to \$300,000 each year for LIHEAP T&TA projects. LIHEAP’s FY 2016 appropriation increased this amount to \$2,988,000. HHS obligated all but \$340.36 of these funds. The remaining \$340.36, in funds will automatically revert to the Treasury after the 5-year expenditure period for such funds expires. T&TA funds can be used for the following purposes:

- To make grants to state and public agencies and private nonprofit organizations.

- To enter into contracts or jointly financed cooperative arrangements or interagency agreements with states and public agencies (including federal agencies) and private nonprofit organizations, or to enter into contracts with private entities that do not qualify as nonprofit organizations.
- To provide T&TA for LIHEAP-related purposes, including collection and dissemination of information about LIHEAP grant recipient programs and projects, and matters of regional or national significance that could increase the effectiveness of LIHEAP assistance.
- To conduct on-site compliance review of LIHEAP grant recipient programs.

Part IV of this report lists the T&TA projects funded for FY 2016.

Summary of FY 2016 Federal LIHEAP Funds

Table I-1 shows how the LIHEAP appropriations were distributed among the grant recipients and type of LIHEAP funding, as described above.

Table I-1. Distribution of LIHEAP Appropriations, FY 2016

Distribution	Number of Grant Recipients	Amount
Total funds	206	\$3,372,006,056
Total allocations and awards	206	3,369,018,056
States (excluding tribes and territories)	51	3,315,277,690
Indian tribes and tribal organizations	150	36,895,277
Territories	5	16,845,089
Regular block grant allocations	206	3,367,843,000
States (excluding tribes and territories)	51	3,314,120,580
Indian tribes and tribal organizations	150	36,883,205
Territories	5	16,839,215
FY 2015 reallocation awards	124	1,175,056
States (excluding tribes and territories)	51	1,157,110
Indian tribes and tribal organizations	68	12,072
Territories	5	5,874
Training and technical assistance	NA	2,988,000

Other Sources of Federal LIHEAP Funds

In addition to federal LIHEAP regular block grant allocations, other sources of federal LIHEAP funds were available in FY 2016, as described below. These other funds constituted about 5 percent of the total LIHEAP funds available to states in FY 2016.

- **FY 2015 reallocation awards.** One state, one territory, and two tribes returned FY 2015

LIHEAP funds for reallocation, totaling \$1,175,056.⁹ HHS redistributed this amount to LIHEAP grant recipients for use in FY 2016, per Section 2607 of the LIHEAP Act, 42 U.S.C. § 8626. The funds were awarded on October 3, 2016, to all current LIHEAP grant recipients by distributing the total reallocated funds under the formula Congress set for FY 2016 funding. However, grant recipients whose allocations would have been less than \$25 did not receive an award. A Dear Colleague Letter announcing the reallocated funds was issued on October 3, 2016, and posted to ACF’s website at <https://www.acf.hhs.gov/ocs/resource/liheap-dear-colleague-notice-on-reallocation-of-fy-2015-liheap-funds-into-fy-2016>

- **LIHEAP carryover from FY 2015.** Section 2607(b)(2)(B) of the LIHEAP Act, 42 U.S.C. § 8626(b)(2)(B), provides that a LIHEAP grant recipient may request that up to 10 percent of its “funds payable” (i.e., LIHEAP block grant funds, emergency contingency funds, and oil overcharge funds designated for LIHEAP) be held available for the next fiscal year.

Table I-2. National Estimates of Net Federal LIHEAP Funds Available to States, FY 2016^a

Funding Source	Number of States	Amount of Funds	Percent of Funds
Total	51	\$3,482,337,186	100.0%
FY 2016 regular block grant allocations	51	\$3,314,120,580	95.2
FY 2015 reallocation awards for FY 2016	51	\$1,157,110	0.0 ^b
FY 2015 funds carried over to FY 2016 ^{cc}	46	\$167,059,496	4.8

^a Regular block grant allocations and fiscal year (FY) 2015 reallocation awards for FY 2016 are actual dollars distributed by U.S. Department of Health and Human Services (HHS).

^b Less than 0.1 percent

^c Funds carried over to FY 2016 are dollars that states reported as carried over or returned to HHS on Part 1 of their FY 2016 LIHEAP Performance Data Forms. These data are current as of May 31, 2017.

⁹ The grant recipients that reported funds available for reallocation included: Tennessee, Puerto Rico, Passamaquoddy Tribe – Pleasant Point, and Poarch Band of Creek Indians.

Table I-3. State-Specific Estimates of Net Federal LIHEAP Funds Available to States, FY 2016^a

State	FY 2016 Regular Block Grant Allocations	FY 2015 Reallotment Awards for FY 2016	Funds Carried Over from FY 2015 ^b	Total
Total	\$3,314,120,580	\$1,157,110	\$167,059,496	\$3,482,337,186
Alabama	43,291,723	10,023	2,833,864	46,135,610
Alaska	10,219,888	3,791	187,759	10,411,438
Arizona	20,103,761	4,708	788,955	20,897,424
Arkansas	27,857,843	7,673	1,211,285	29,076,801
California	176,508,425	53,857	2,393,433	178,955,715
Colorado	49,002,284	18,809	2,433,671	51,454,764
Connecticut	80,689,886	24,537	8,585,431	89,299,854
Delaware	12,573,831	3,257	710,357	13,287,445
Dist. of Columbia	10,387,179	3,811	879,449	11,270,439
Florida	68,899,989	15,911	4,650,098	73,565,998
Georgia	54,484,552	12,580	2,104,858	56,601,990
Hawaii	5,486,895	1,267	96,865	5,585,027
Idaho	19,028,385	7,004	1,558,227	20,593,616
Illinois	166,270,241	67,914	6,127,733	172,465,888
Indiana	75,275,830	30,746	5,186,712	80,493,288
Iowa	53,353,713	21,793	4,751,054	58,126,560
Kansas	31,875,554	10,008	969,142	32,854,704
Kentucky	46,712,638	16,002	0	46,728,640
Louisiana	42,233,740	10,280	0	42,244,020
Maine	37,494,958	15,315	2,279,011	39,789,284
Maryland	72,254,634	18,788	6,040,875	78,314,297
Massachusetts	148,648,736	49,043	162,355	148,860,134
Michigan	157,021,126	64,163	6,417,091	163,502,380
Minnesota	113,728,493	46,453	10,189,747	123,964,693
Mississippi	28,991,893	8,621	0	29,000,514
Missouri	73,294,773	27,127	5,889,574	79,211,474
Montana	19,356,867	7,101	1,483,299	20,847,267
Nebraska	29,359,218	10,777	2,658,494	32,028,489
Nevada	9,892,109	2,284	497,268	10,391,661
New Hampshire	26,398,950	9,290	426,975	26,835,215
New Jersey	127,094,199	45,565	2,616,438	129,756,202
New Mexico	17,794,305	5,837	1,307,067	19,107,209
New York	364,044,313	148,693	0	364,193,006
North Carolina	85,065,509	21,778	8,496,569	93,583,856

State	FY 2016 Regular Block Grant Allocations	FY 2015 Reallotment Awards for FY 2016	Funds Carried Over from FY 2015 ^b	Total
North Dakota	19,366,156	7,105	1,937,612	21,310,873
Ohio	147,090,880	60,080	11,349,017	158,499,977
Oklahoma	32,390,762	8,257	2,905,079	35,304,098
Oregon	35,042,876	14,333	3,533,546	38,590,755
Pennsylvania	203,405,185	79,915	19,542,979	223,028,079
Rhode Island	25,957,227	8,079	2,322,855	28,288,161
South Carolina	34,588,425	7,986	3,544,169	38,140,580
South Dakota	17,386,432	6,379	0	17,392,811
Tennessee	56,100,554	16,210	5,516,096	61,632,860
Texas	114,644,576	26,470	97,415	114,768,461
Utah	23,492,700	8,619	2,347,291	25,848,610
Vermont	18,981,020	6,963	1,215,188	20,203,171
Virginia	83,926,259	22,885	6,419,141	90,368,285
Washington	56,587,854	23,235	76,627	56,687,716
West Virginia	28,865,924	10,590	1,820,459	30,696,973
Wisconsin	102,371,974	41,814	9,908,820	112,322,608
Wyoming	9,225,336	3,384	589,546	9,818,266

^a Regular block grant allocations and fiscal year (FY) 2015 reallotment awards for FY 2016 are actual dollars distributed by U.S. Department of Health and Human Services (HHS).

^b Funds carried over to FY 2016 are dollars that states reported as carried over or returned to HHS on Part 1 of their FY 2016 LIHEAP Performance Data Forms. These data are current as of May 31, 2017.

Distribution of Federal LIHEAP Funds to States, Tribes, and Territories

Prior to the passage of P.L. 114-113, Congress appropriated preliminary FY 2016 LIHEAP funding through a continuing resolution (CR). This CR allowed HHS to issue a set of awards of regular block grant funds to states, direct-funded tribes, and territories. Such awards occurred as soon as such grant recipients' LIHEAP applications were reviewed and found to be in accordance with the statutory requirements for completeness. To avoid impinging on Congress' final funding prerogatives, such awards were set at 90 percent of such grant recipients' full-year allocations under the CR. The final LIHEAP appropriation allowed HHS to award the remaining funds according to all grant recipients' full-year allocations (after the transfer).

State Regular Block Grant Allocations

Section 2605 of the LIHEAP Act, 42 U.S.C. § 8624, requires each grant recipient to submit a complete [LIHEAP grant application](#) to receive LIHEAP funds. This application consists of the chief executive officer's certification to 16 assurances and other required information. The

format for this application appears in the On Line Data Collection system (OLDC), which grant recipients access through grantsolutions.gov.

The distribution of LIHEAP regular block grant funds to the states is based on statutory formulas. From FY 1985 through FY 2008, these formulas were based upon Section 2604(a) of the LIHEAP Act, 42 U.S.C. § 8623(a)—under which the distributions were based on (1) the formula established in FY 1982 (old formula) when the amount distributed equals or falls below \$1.975 billion; or (2) the formula established in FY 1985 (new formula) when the amount distributed exceeds \$1.975 billion. The old formula calls for such funds to be distributed to each state based on the share of such funds that that state received for FY 1984. The new formula calls for such funds to be distributed to each state based on (1) the percentage which its low-income households' home energy expenditures bears to such expenditures in all states; and (2) additional provisions requiring that:

1. No state receives less than the amount it would have received in FY 1984 if the regular block grant appropriation in that year had been \$1.975 billion.
2. When the regular block grant appropriation equals or exceeds \$2.25 billion, no state, which under an appropriation of \$2.25 billion would otherwise have an allotment percentage (i.e., the percentage of such funds available to all states) of less than 1 percent has its allotment percentage reduced from the percentage it would receive from a total appropriation of \$2.14 billion.
3. If the regular block grant appropriation is too low to meet the conditions of #1 and #2, then all states have such funds ratably reduced.

For FY 2016, however, the formula for the full-year appropriation was based upon P.L. 114-113. Such formula called for \$491,000,000 to be distributed by the new formula and the remainder (after deducting the transfer) to be distributed by the old formula. Because P.L. 114-113 did not amend the LIHEAP authorizing statute, it did not specify that this modification apply to fiscal years after FY 2016.

Tribal Regular Block Grant Allocations

The LIHEAP statute and the HHS block grant regulations provide for federally recognized Indian tribes, state-recognized Indian tribes, and tribal organizations applying on behalf of eligible tribes (direct-funded tribes) to receive LIHEAP funds directly from HHS, rather than receiving LIHEAP assistance from the states. In such cases, Section 2604(d)(2) of the LIHEAP Act, 42 U.S.C. § 8623(d)(2), directs that each such tribe's LIHEAP regular block grant allotment bear the same ratio to the allotment of the state in which the tribe is located as the number of eligible tribal households bears to the number of eligible households in the state. A larger allotment amount may be agreed upon by the tribe and state.

Table I-4 shows the direct-funded tribes for each state and the amounts set aside from regular block grant allocations and FY 2015 reallocation funds to be used in FY 2016 by such tribes.

Table I-4. LIHEAP Funding Breakdown for Direct-Funded Tribes and Tribal Organizations, FY 2016

Direct-Funded Tribe	FY 2016 Regular Block Grant Allocations	FY 2015 Reallotment Awards for FY 2016	Total
Total	\$36,883,205	\$12,072	\$36,895,277
Alabama - Ma-Chis Lower Creek Indian Tribe	7,585	0	7,585
Alabama - Mowa Band of Choctaw Indians	138,057	32	138,089
Alabama - Poarch Band of Creek Indians	88,467	0	88,467
Alabama - United Cherokee Ani-Yun Wiya Nation	36,048	0	36,048
Alaska - Aleutian/Pribilof Islands Association	185,461	68	185,529
Alaska - Aniak Traditional Council	167,501	61	167,562
Alaska - Assn. of Village Council Presidents	2,678,857	983	2,679,840
Alaska - Bristol Bay Native Association	1,007,788	370	1,008,158
Alaska - Chuathbaluk Traditional Council	20,996	0	20,996
Alaska - Cook Inlet	290,439	107	290,546
Alaska - Kenaitze Indian Tribe	132,115	48	132,163
Alaska - Kodiak Area Native Association	45,490	0	45,490
Alaska - Orutsararmuit Native Council	244,948	90	245,038
Alaska - Seldovia Village	12,247	0	12,247
Alaska - Tanana Chiefs Conference	1,671,755	613	1,672,368
Alaska - Tlingit & Haida Central Council	783,835	288	784,123
Alaska - Yakutat Tlingit Tribe	34,993	0	34,993
Arizona - Cocopah Tribe	7,785	0	7,785
Arizona - Colorado River Indian Tribes	25,546	0	25,546
Arizona - Gila River Pima-Maricopa Community	78,569	0	78,569
Arizona - Navajo Nation	1,545,498	444	1,545,942
Arizona - Pascua Yaqui Tribe	30,014	0	30,014
Arizona - Quechan Tribe	19,673	0	19,673
Arizona - Salt River Pima Maricopa Ind. Cmty.	28,990	0	28,990
Arizona - San Carlos Apache Tribe	47,804	0	47,804
Arizona - White Mountain Apache Tribe	68,291	0	68,291
California - Berry Creek Rancheria	6,228	0	6,228

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Direct-Funded Tribe	FY 2016 Regular Block Grant Allocations	FY 2015 Reallotment Awards for FY 2016	Total
California - Bishop Paiute	23,476	0	23,476
California - Coyote Valley Pomo Band	5,174	0	5,174
California - Enterprise Rancheria	2,395	0	2,395
California - Hoopa Valley Tribe	42,927	0	42,927
California - Hopland Band	6,516	0	6,516
California - Karuk Tribe	31,141	0	31,141
California - Mooretown Rancheria	17,774	0	17,774
California – N. Cal. Ind. Devel. Council, Inc. (NCIDC)	295,468	89	295,557
California - Pinoleville Rancheria	17,717	0	17,717
California - Quartz Valley	3,737	0	3,737
California - Redding Rancheria	46,089	0	46,089
California - Redwood Valley	2,108	0	2,108
California - Riverside-San Bernardino Indian Health	42,831	0	42,831
California - Round Valley	27,548	0	27,548
California - S. Cal. Tribal Chairmen’s Association	4,839	0	4,839
California - Sherwood Valley Rancheria	6,995	0	6,995
California - Southern Indian Health Council	5,510	0	5,510
California - Yurok Tribe	55,862	0	55,862
Idaho - Coeur d’Alene Tribe	60,496	0	60,496
Idaho - Nez Perce Tribe	139,992	51	140,043
Idaho - Shoshone-Bannock Tribes (Fort Hall)	769,955	282	770,237
Kansas - United Tribes of Kansas & SE Nebraska	63,000	0	63,000
Maine - Aroostook Band of Micmac Indians	169,291	69	169,360
Maine - Houlton Band of Maliseet Indians	169,291	69	169,360
Maine - Passamaquoddy Tribe–Indian Township	323,014	132	323,146
Maine - Passamaquoddy Tribe–Pleasant Point	450,663	184	450,847
Maine - Penobscot Tribe	310,172	127	310,299
Massachusetts - Mashpee Wampanoag Tribe	119,014	39	119,053
Michigan - Grand Traverse Ottawa/Chippewa Band	43,993	0	43,993

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Direct-Funded Tribe	FY 2016 Regular Block Grant Allocations	FY 2015 Reallotment Awards for FY 2016	Total
Michigan - Inter-Tribal Council of Michigan	83,653	34	83,687
Michigan - Keweenaw Bay Indian Community	116,090	47	116,137
Michigan - Little River Band of Ottawa Indians	21,274	0	21,274
Michigan - Pokagon Band of Potawatomi Indians	79,548	33	79,581
Michigan - Sault Ste. Marie Chippewa Tribe	500,000	204	500,204
Mississippi - Mississippi Band of Choctaw Indians	59,238	0	59,238
Montana - Assiniboine & Sioux Tribes (Fort Peck)	826,262	303	826,565
Montana - Blackfeet Tribe	998,181	366	998,547
Montana - Chippewa-Cree Tribe	295,094	108	295,202
Montana - Confederated Salish & Kootenai Tribes	1,172,657	430	1,173,087
Montana - Fort Belknap Community	345,128	127	345,255
Montana - Northern Cheyenne Tribe	463,165	170	463,335
New Mexico - Five Sandoval Indian Pueblos	29,548	0	29,548
New Mexico - Jicarilla Apache Tribe	26,020	0	26,020
New Mexico - Pueblo of Jemez	12,349	0	12,349
New Mexico - Pueblo of Laguna	48,071	0	48,071
New Mexico - Pueblo of Nambe	8,820	0	8,820
New Mexico - Pueblo of Zuni	74,091	0	74,091
New York - Seneca Nation	126,636	52	126,688
New York - St. Regis Mohawk Band	70,946	29	70,975
North Carolina - Eastern Band of Cherokee Indians	94,951	0	94,951
North Carolina - Lumbee Tribe of North Carolina	1,541,942	394	1,542,336
North Dakota - Spirit Lake Tribe	1,274,089	467	1,274,556
North Dakota - Standing Rock Sioux Tribe	1,768,977	649	1,769,626
North Dakota - Three Affiliated Tribes (Fort Berthold)	1,019,271	374	1,019,645
North Dakota - Turtle Mountain Chippewa Band	2,293,360	841	2,294,201
Oklahoma - Absentee Shawnee Tribe	16,690	0	16,690
Oklahoma - Apache Tribe of Oklahoma	14,379	0	14,379

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Direct-Funded Tribe	FY 2016 Regular Block Grant Allocations	FY 2015 Reallotment Awards for FY 2016	Total
Oklahoma - Cherokee Nation of Oklahoma	1,635,634	410	1,636,044
Oklahoma - Cheyenne-Arapaho Tribes	140,796	35	140,831
Oklahoma - Chickasaw Nation of Oklahoma	510,119	128	510,247
Oklahoma - Choctaw Nation of Oklahoma	735,650	185	735,835
Oklahoma - Citizen Band Potawatomi	178,200	45	178,245
Oklahoma - Comanche Indian Tribe	86,789	0	86,789
Oklahoma - Delaware Nation	4,000	0	4,000
Oklahoma - Delaware Tribe of Indians	27,902	0	27,902
Oklahoma - Eastern Shawnee Tribe of Oklahoma	4,000	0	4,000
Oklahoma - Fort Sill Apache Tribe	4,000	0	4,000
Oklahoma - Kialegee Tribal Town	4,000	0	4,000
Oklahoma - Kickapoo Tribe of Oklahoma	44,079	0	44,079
Oklahoma - Kiowa Indian Tribe	52,381	0	52,381
Oklahoma - Miami Tribe	8,559	0	8,559
Oklahoma - Modoc Tribe of Oklahoma	4,000	0	4,000
Oklahoma - Muscogee (Creek) Nation	261,650	66	261,716
Oklahoma - Osage Tribe	127,426	32	127,458
Oklahoma - Otoe-Missouria Tribe	7,874	0	7,874
Oklahoma - Ottawa Tribe of Oklahoma	20,114	0	20,114
Oklahoma - Pawnee Tribe	31,241	0	31,241
Oklahoma - Ponca Tribe	58,202	0	58,202
Oklahoma - Quapaw Tribe	23,537	0	23,537
Oklahoma - Sac & Fox Tribe of Oklahoma	116,831	29	116,860
Oklahoma - Seminole Nation of Oklahoma	51,868	0	51,868
Oklahoma - Seneca-Cayuga Tribe	10,185	0	10,185
Oklahoma - Shawnee Tribe	4,000	0	4,000
Oklahoma - Thlopthlocco Tribal Town	18,060	0	18,060
Oklahoma - Tonkawa Tribe	5,563	0	5,563
Oklahoma - United Keetowah	222,535	56	222,591
Oklahoma - Wichita & Affiliated Tribes	14,978	0	14,978
Oklahoma - Wyandotte Nation	8,131	0	8,131
Oregon - Conf. Tribe of Coos-Lower Umpqua	37,000	0	37,000

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Direct-Funded Tribe	FY 2016 Regular Block Grant Allocations	FY 2015 Reallotment Awards for FY 2016	Total
Oregon - Conf. Tribes of Grand Ronde	118,845	49	118,894
Oregon - Conf. Tribes of Siletz Indians	114,665	47	114,712
Oregon - Conf. Tribes of Warm Springs	114,665	47	114,712
Oregon - Cow Creek Band of Umpqua Indians	12,000	0	12,000
Oregon - Klamath Tribe	249,829	102	249,931
Rhode Island - Narragansett Indian Tribe	44,419	0	44,419
South Dakota - Cheyenne River Sioux Tribe	583,618	214	583,832
South Dakota - Lower Brule Sioux Tribe	78,644	29	78,673
South Dakota - Oglala Sioux Tribe	1,208,627	443	1,209,070
South Dakota - Rosebud Sioux Tribe	952,001	349	952,350
South Dakota - Yankton Sioux Tribe	246,278	90	246,368
Utah - Paiute Indian Tribe of Utah	98,070	36	98,106
Utah - Ute Tribe (Uintah & Ouray)	128,921	47	128,968
Washington - Colville Confederated Tribes	497,231	203	497,434
Washington - Hoh Tribe	8,460	0	8,460
Washington - Jamestown S'Klallam Tribe	14,500	0	14,500
Washington - Kalispel Indian Community	14,500	0	14,500
Washington - Lower Elwha Klallam Tribe	35,458	0	35,458
Washington - Lummi Indian Tribe	146,704	60	146,764
Washington - Makah Indian Tribe	114,416	47	114,463
Washington - Muckleshoot Indian Tribe	52,365	0	52,365
Washington - Nooksack Indian Tribe	40,272	0	40,272
Washington - Port Gamble S'Klallam Tribe	24,186	0	24,186
Washington - Quileute Tribe	46,729	0	46,729
Washington - Quinault Tribe	127,331	52	127,383
Washington - Samish Tribe	48,314	0	48,314
Washington - Small Tribes Organization of W. Wash.	77,314	32	77,346
Washington - South Puget Intertribal Planning Agency	163,317	67	163,384
Washington - Spokane Tribe	102,381	42	102,423

Direct-Funded Tribe	FY 2016 Regular Block Grant Allocations	FY 2015 Reallotment Awards for FY 2016	Total
Washington - Suquamish Tribe	14,500	0	14,500
Washington - Swinomish Indians	62,051	25	62,076
Washington - Yakama Indian Nation	527,053	215	527,268
Wyoming - Eastern Shoshone of the Wind River	126,871	47	126,918
Wyoming - Northern Arapaho Nation	186,968	69	187,037

Source. These data are compiled from U.S. Department of Health and Human Services' records of actual dollars distributed.

Territory Regular Block Grant Allocations

Section 2604(b)(1) of the LIHEAP Act, 42 U.S.C. § 8623(b)(1), mandates that, “after evaluating the extent to which each jurisdiction...requires assistance under this paragraph for the fiscal year involved,” HHS “shall apportion not less than one-tenth of 1 percent, and not more than one-half of 1 percent, of the amounts appropriated for each fiscal year to carry out this title on the basis of need among” the following territories: Commonwealth of Puerto Rico, Guam, American Samoa, the Virgin Islands, and the Commonwealth of the Northern Mariana Islands. The territories are also eligible to receive emergency contingency, leveraging and Residential Energy Assistance Challenge Program (REACH) funds.

From FY 1981 through FY 2013, the territories received the same percentage of the total LIHEAP appropriation, approximately 0.14 percent, and the same relative shares of the funds based on such percentage. These percentages and shares were based on a congressional determination of need for FY 1981. However, in FY 2014, the Secretary of Health and Human Services approved an increase to the total LIHEAP funding set aside for the territories' program to the statutory maximum of 0.50 percent of the total LIHEAP appropriation. The allocation distribution among the territories remained the same. This set aside was maintained in FY 2015 and FY 2016.

Table I-5 indicates the FY 2016 LIHEAP funds received by the five eligible territories.

Table I-5. LIHEAP Funding Breakdown for Territories, FY 2016

Territory	FY 2016 Regular Block Grant Allocation	FY 2015 Reallotment Awards for FY 2016	Total
Total	\$16,839,215	\$5,874	\$16,845,089
American Samoa	278,564	97	278,661
Guam	610,742	213	610,955
Northern Mariana Islands	212,128	74	212,202
Puerto Rico	15,160,258	5,289	15,165,547
U.S. Virgin Islands	577,523	201	577,724

Source. These data are compiled from U.S. Department of Health and Human Services' records of actual dollars distributed.

Uses of LIHEAP Funds

HHS obtained estimates of the states' program obligations through the *LIHEAP Performance Data Form - Grantee Survey Section for FY 2016*, as described in *Appendix A* on the [LIHEAP Reports to Congress](#) page of ACF's website. Such estimates are shown at the national level in Table I-6 and at the state level in Table I-7.

Table I-6. National Estimates of States' Uses of Federal LIHEAP Funds, FY 2016

Uses of LIHEAP Funds	Number of States	Estimated Obligations	Percent of Funds ^a
Total^b	51	\$3,482,337,187	100.0%
Heating assistance	51	1,755,017,611	50.4
Cooling assistance ^c	19	243,167,357	7.0
Energy crisis assistance ^d	49	607,239,435	17.4
Weatherization assistance ^e	48	355,526,104	10.2
Nominal payments ^f	9	21,422,816	0.6
Carryover to FY 2017 ^g	45	162,813,671	4.7
Development of leveraging resources	3	130,000	0.0 ^h
Assurance 16 activities ⁱ	25	40,204,895	1.2
Administrative and planning costs	51	\$289,474,259	8.3
Other ^j	5	\$7,341,039	0.2

Source. These data are compiled from the *LIHEAP Performance Data Form – Grantee Survey Section for FFY 2016*.

^a Percentage distribution of uses of LIHEAP funds may not add up to 100 percent due to rounding.

^b The total uses of funds (\$3,482,337,187) differs from the total sources of funds (\$3,482,337,186) by \$1 due to rounding by one state (North Carolina).

^c The total number of states that obligated funds to cooling assistance (19) differs from the total number of states that served households with cooling assistance (20, see Table III-1) because one state (North Dakota) assisted households with non-crisis cooling equipment repair and replacement services using funding obligated to emergency cooling equipment repair and replacement, but reported such households under cooling assistance.

^d The number of states and estimated obligations excludes two states (Alaska and Massachusetts) that provided expedited heating assistance benefits to households in winter fuel crisis situations because the funding was obligated under heating assistance.

^e Forty-eight states obligated funds for weatherization assistance. This total includes states that obligated funds during FY 2016 but did not expend the funds to weatherize homes until FY 2017. Therefore, this total is not comparable to the total number of states that provided weatherization assistance, listed in Table III-1.

^f In FY 2015, Office of Community Services specifically instructed grant recipients to separate Supplemental Nutrition Assistance Program (SNAP) nominal payment obligations and recipient households from their heating assistance data. This is consistent with the guidance in FY2016.

^g Carryover to FY 2017 doesn't include \$2,419,841 of unobligated FY 2015 LIHEAP funds in excess of carryover limitations that three states (Arkansas, Georgia, and Vermont) returned to the federal government.

^h Less than 0.1 percent.

ⁱ Funds obligated for Assurance 16 activities consisted of LIHEAP funds used to provide services that encourage and enable households to reduce their home energy needs and thereby the need for energy assistance, including needs assessments, counseling, and assistance with energy vendors.

^j "Other" refers to LIHEAP Management Information System (MIS) funds obligated by Delaware, Kansas, Minnesota, Montana, and Pennsylvania.

Table I-7. Estimates of States' Uses of Federal LIHEAP Funds, by State, FY 2016

State	Heating Assistance Benefits	Cooling Assistance Benefits	Energy Crisis Assistance Benefits	Weatherization Assistance Benefits ^a	Nominal Payments ^b	Carryover to FY 2017 ^c	Development of Leveraging Resources ^d	Assurance 16 Activities ^e	Administrative and Planning Costs	Other ^f	Total ^g
Total	\$1,755,017,611	\$243,167,357	\$607,239,435	\$355,526,104	\$21,422,816	\$162,813,671	\$130,000	\$40,204,895	\$289,474,259	\$7,341,039	\$3,482,337,187
Alabama	16,439,311	14,788,455	6,993,359	950,000	0	2,411,014	0	501,994	4,051,477	0	46,135,610
Alaska ^h	9,156,499	0	0	300,000	0	40,198	0	0	914,741	0	10,411,438
Arizona	3,993,521	7,416,539	2,943,838	2,714,008	0	788,955	25,000	1,005,188	2,010,375	0	20,897,424
Arkansas	8,159,749	5,905,879	6,520,810	1,500,968	0	3,512,766	0	1,114,924	2,361,705	0	29,076,801
California ^{ij}	48,572,950	0	58,774,548	44,387,821	0	763,322	0	8,788,255	17,668,819	0	178,955,715
Colorado	27,485,987	0	7,749,048	6,415,511	0	4,902,109	0	0	4,902,109	0	51,454,764
Connecticut	62,187,279	0	7,821,727	576,709	1,991,959	7,801,974	0	990,665	7,929,541	0	89,299,854
Delaware ⁱ	7,099,266	1,917,482	1,582,822	160,590	0	491,721	0	185,180	1,284,384	566,000	13,287,445
Dist. of Col. ^j	6,019,894	1,539,683	764,013	1,081,427	0	816,786	0	9,504	1,039,132	0	11,270,439
Florida	12,861,554	14,918,383	25,290,151	8,718,656	0	5,503,165	0	0	6,274,089	0	73,565,998
Georgia	34,322,828	0	9,134,481	2,284,371	0	6,485,452	0	0	4,374,858	0	56,601,990
Hawaii ⁱ	4,798,119	0	174,286	0	0	150,868	0	0	461,754	0	5,585,027
Idaho	10,884,827	0	505,518	4,748,372	0	1,575,742	35,000	947,241	1,896,916	0	20,593,616
Illinois	105,597,668	0	14,684,141	19,130,709	0	10,849,160	0	6,757,405	15,446,805	0	172,465,888
Indiana	45,623,721	7,789,393	3,616,599	9,565,959	0	4,611,927	0	2,866,666	6,419,023	0	80,493,288
Iowa	37,951,843	0	2,219,526	8,003,057	0	5,103,528	0	530,655	4,317,951	0	58,126,560
Kansas	22,503,441	0	1,773,710	1,702,220	0	3,178,533	0	0	2,434,343	1,262,457	32,854,704
Kentucky	12,559,022	0	26,552,852	3,311,046	0	0	0	0	4,305,720	0	46,728,640
Louisiana	13,291,395	16,701,126	3,316,902	4,547,439	0	162,756	0	0	4,224,402	0	42,244,020
Maine	21,546,649	0	1,938,436	9,330,008	167,433	3,196,378	0	77,495	3,532,885	0	39,789,284
Maryland ⁱ	60,136,030	0	6,544,234	0	0	7,125,963	0	0	4,508,070	0	78,314,297
Massachusetts ^j	120,969,721	0	0	8,500,000	2,336,103	667,910	70,000	3,597,405	12,718,995	0	148,860,134
Michigan	38,019,300	0	89,735,969	6,069,587	0	13,977,524	0	0	15,700,000	0	163,502,380

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State	Heating Assistance Benefits	Cooling Assistance Benefits	Energy Crisis Assistance Benefits	Weatherization Assistance Benefits ^a	Nominal Payments ^b	Carryover to FY 2017 ^c	Development of Leveraging Resources ^d	Assurance 16 Activities ^e	Administrative and Planning Costs	Other ^f	Total ^g
Minnesota ^h	63,116,870	0	26,517,392	10,164,371	0	7,368,231	0	4,567,623	11,437,542	792,664	123,964,693
Mississippi	10,566,756	9,379,141	1,049,330	4,331,601	0	0	0	1,104,558	2,569,128	0	29,000,514
Missouri	32,600,107	0	28,100,000	6,300,000	0	5,179,492	0	0	7,031,875	0	79,211,474
Montana	9,880,041	0	1,163,822	4,840,992	26,311	1,710,061	0	450,000	1,936,396	839,644	20,847,267
Nebraska	16,838,345	7,452,954	2,478,607	1,320,350	0	1,297,088	0	0	2,641,145	0	32,028,489
Nevada ⁱ	9,224,409	0	184,272	451,889	0	334,597	0	0	196,494	0	10,391,661
New Hampshire	20,944,390	0	393,324	1,492,593	0	588,077	0	999,999	2,416,832	0	26,835,215
New Jersey	75,626,710	15,555,100	9,383,769	12,654,183	0	3,822,464	0	0	12,713,976	0	129,756,202
New Mexico	6,619,594	4,870,433	2,414,438	2,228,920	0	1,274,402	0	0	1,699,422	0	19,107,209
New York	249,721,196	3,428,745	44,122,781	36,419,301	6,153,525	0	0	0	24,347,458	0	364,193,006
North Carolina	34,711,177	0	34,711,177	15,654,953	0	0	0	0	8,506,550	0	93,583,857
North Dakota	5,980,755	0	6,172,291	4,832,661	0	1,937,326	0	450,514	1,937,326	0	21,310,873
Ohio	87,965,966	0	35,440,421	19,969,821	0	1,488,371	0	216,743	13,418,655	0	158,499,977
Oklahoma	7,279,036	19,910,561	880,612	2,500,000	0	2,705,831	0	0	2,028,058	0	35,304,098
Oregon	19,724,305	557,416	3,454,004	5,076,431	1,200,000	3,487,835	0	1,692,144	3,398,620	0	38,590,755
Pennsylvania	116,750,075	0	56,144,873	10,300,724	5,419,121	12,737,433	0	0	17,795,579	3,880,274	223,028,079
Rhode Island	14,144,653	0	5,316,281	3,750,000	1,200,000	1,760,227	0	825,000	1,292,000	0	28,288,161
South Carolina	9,602,250	6,954,298	10,124,320	4,817,247	0	3,459,641	0	0	3,182,824	0	38,140,580
South Dakota	13,796,636	0	1,357,068	0	0	1,174,825	0	0	1,064,282	0	17,392,811
Tennessee	25,842,115	12,921,058	6,929,867	5,180,160	0	5,611,676	0	209,974	4,938,010	0	61,632,860
Texas	4,058,256	75,957,358	8,778,526	14,573,596	0	0	0	0	11,400,725	0	114,768,461
Utah	14,984,526	0	2,901,751	3,523,904	0	2,347,291	0	79,216	2,011,922	0	25,848,610
Vermont	10,976,977	0	1,970,710	2,800,000	0	2,556,686	0	0	1,898,798	0	20,203,171
Virginia	42,562,795	15,203,353	6,392,528	11,287,020	0	8,341,330	0	0	6,581,259	0	90,368,285
Washington ^l	26,960,676	0	8,931,767	10,025,355	2,928,364	23,235	0	2,149,547	5,668,772	0	56,687,716
West Virginia	21,571,365	0	2,781,752	4,323,241	0	0	0	0	2,020,615	0	30,696,973
Wisconsin	67,304,117	0	19,089,948	11,333,776	0	8,603,201	0	0	5,991,566	0	112,322,608
Wyoming	5,482,939	0	1,416,834	1,374,557	0	886,600	0	87,000	570,336	0	9,818,266

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^a Includes funds obligated in FY 2016 but not expended to weatherize homes until FY 2017.

^b In FY 2015, Office of Community Services specifically instructed grant recipients to separate Supplemental Nutrition Assistance Program (SNAP) nominal payment obligations and recipient households from their heating assistance data. This is consistent with the guidance for FY 2016.

^c Carryover to FY 2017 doesn't include \$2,419,841 of unobligated FY 2016 LIHEAP funds in excess of carryover limitations that three states (Arkansas, Georgia, and Vermont) returned to the federal government.

^d Development of leveraging resources consists of LIHEAP funds used to identify, develop, and demonstrate leveraging incentive programs. Grant recipients may spend up to a certain amount of their LIHEAP funds to conduct such activities each fiscal year.

^e Funds obligated for Assurance 16 activities were used to provide services that encourage and enable households to reduce their home energy needs and thereby the need for energy assistance, including needs assessments, counseling, and assistance with energy vendors.

^f "Other" refers to LIHEAP Management Information System (MIS) funds obligated by Delaware, Kansas, Minnesota, Montana, and Pennsylvania.

^g The total uses of funds (\$3,482,337,186) differs from the total sources of funds (\$3,482,337,187) by \$1 due to rounding by one state (North Carolina).

^h Households in winter fuel crisis situations (Alaska and Massachusetts) received expedited heating assistance.

ⁱ Combined heating and cooling assistance was provided in California and Nevada; and energy assistance was provided in Hawaii, with no differentiation made between heating and cooling assistance. California, Nevada, and Hawaii reported such funding obligated under heating assistance.

^j Four grant recipients (California, Delaware, District of Columbia, and Minnesota) exceeded the limit allowed for administrative and planning costs (10 percent of funds payable) in FY 2016 using unobligated funds for administrative and planning costs funds carried over from previous fiscal years, when obligations for administrative and planning costs were below the 10 percent limit. One grant recipient (Washington) also exceeded the limit allowed for administrative and planning costs.

Source. These data are compiled from the *LIHEAP Performance Data Form – Grantee Survey Section for FFY 2016*. Sources of these funds, by state, are shown in Table I-3. These data are current as of May 31, 2017.

II. Home Energy Data

Part II of this report presents home energy consumption and expenditure data. The primary data source for this part is the Department of Energy's (DOE's) 2009 Residential Energy Consumption Survey (RECS), which has energy consumption and expenditures data for calendar year 2009. For this report, the 2009 home heating and cooling consumption and expenditures have been adjusted to reflect FY 2016 weather and fuel prices. Therefore, any residential energy or home energy consumption and expenditure data presented in Part II have been adjusted from the 2009 RECS for years after 2009.

The report titled *Low Income Home Energy Data for Fiscal Year 2016* includes an explanation of the sources of data and the data calculations for the home energy estimates presented in Part II.

Total Residential Energy Data

Total residential energy includes a variety of uses, such as refrigeration, cooking, lighting, water heating, home heating, and home cooling. By statute, LIHEAP targets assistance to that portion of total residential energy that covers home heating and home cooling costs. In FY 2016, home heating was estimated to be 23 percent of the residential energy bill for low-income households and home cooling made up about 11 percent.

Table II-1 provides estimated data on the percentage of the residential energy bill that is attributable to five main categories of end use. The category for appliances, such as lights and cooking but not refrigeration, accounted for about 42 percent of residential energy expenditures for LIHEAP recipient households in FY 2016. Water heating expenditures represented about 15 percent of residential energy expenditures for LIHEAP recipient households, and refrigeration represented about 8 percent. Table II-2 provides estimated data on residential energy expenditures by each major end use by the following four income groups:

- **All households** represent all households in the U.S.
- **Non-low-income households** represent those households with annual incomes above the LIHEAP income maximum of the greater of 150 percent of HHS Poverty Guidelines (HHSPG) or 60 percent of state median income (SMI).
- **Low-income households** represents those households with annual incomes at or under the LIHEAP income maximum of the greater of 150 percent of HHSPG or 60 percent of SMI.
- **LIHEAP recipient households** represents those low-income households that received federal fuel assistance.

Residential energy expenditures of low-income households were distributed in roughly the same way as those of all households. However, LIHEAP recipients spent a higher proportion of their annual residential expenditures for home heating and a lower proportion for home cooling than did other groups. LIHEAP recipient households spent about 27 percent of their

annual residential expenditures for home heating, about 4 percentage points more than did the average low-income household. LIHEAP recipient households spent about 8 percent for home cooling, about 3 percentage points less than did the average low-income household.

Table II-1. Percent of Household Residential Energy Expenditures by Major End Use, by Household Type, Nationally, FY 2016

End Use	All Households	Non-Low-Income Households	Low-Income Households	LIHEAP Recipient Households
Home heating	21%	21%	23%	27%
Home cooling	13	14	11	8
Water heating	13	12	15	15
Refrigeration	8	8	9	8
Appliances	44	45	43	42
All uses*	100	100	100	100

*All uses may not add to 100 percent due to rounding.

Source. Data are derived from the 2009 Residential Energy Consumption Survey, adjusted to reflect FY 2016 heating degree days and cooling degree days.

Average residential energy expenditures for LIHEAP recipient households were estimated to be \$1,854, about 8 percent higher than that for all low-income households. The mean individual residential energy burden for LIHEAP recipient households was about 17.2 percent, about the same as for the average low-income household (17.1 percent).

Table II-2 presents data on average annual residential energy consumption, expenditures, and burden (the percent of income spent on residential energy), by household income group and heating fuel type for low-income households. For information on the methodology and terminology used to develop estimated data on residential energy, and for more detailed statistics by Census region, household income group, and main heating fuel type, see the report, [*Low Income Home Energy Data For Fiscal Year 2016*](#).

In FY 2016, average residential energy consumption for all households was estimated to be 85.3 million British thermal units (MMBtus) and average residential energy expenditures were \$2,004. The mean individual residential energy burden for all households was about 7.9 percent of income.

Low-income households were estimated to have average residential energy consumption of 73.9 MMBtus, or about 13 percent less than all households, and average energy expenditures of \$1,709, or about 15 percent less than all households. Their mean individual residential energy burden was about 17.1 percent, over twice that for all households and over five times that for non-low-income households.

Table II-2. Average Annual Household Residential Energy Data by Household and Fuel Type, All Fuels, Nationally, FY 2016

	Fuel Consumption (MMBtus) ^a	Fuel Expenditures	Mean Individual Burden ^b	Median Individual Burden ^c	Mean Group Burden ^d
All households	85.3	\$2,004	7.9%	3.6%	2.5%
Non-low-income households	91.4	2,163	3.0	2.6	2.1
Low-income households	73.9	1,709	17.1	8.1	8.9
LIHEAP recipient households	85.4	1,854	17.2	8.4	11.1

Home Heating Data

This section presents data on main heating fuel type, home heating consumption, home heating expenditures, and home heating burden.

Main Heating Fuel Type

The unadjusted 2009 RECS data in Table II-3 show that about half of the households in each income group used natural gas as their main heating fuel. Non-low-income households used natural gas at the highest rate among all household groups, estimated at 51.4 percent, followed by LIHEAP recipient households, about 49.2 percent. Low-income households used electricity as their primary fuel type at the highest rate among all household groups, about 36.7 percent, while LIHEAP recipient households used electricity at the lowest rate, about 29.3 percent. LIHEAP recipient households tended to use fuel oil and kerosene more frequently than did households in other groups.

Table II-3. Percent of Households Using Major Types of Heating Fuels, by Household Type, Nationally, 2009^a

Household Type	Natural Gas	Electricity	Fuel Oil	Kerosene	LPG	Other ^b
All households	49.0%	33.6%	6.1%	0.4%	4.9%	2.9%
Non-low-income households	51.4	31.9	6.1	0.2	5.1	2.9
Low-income households ^c	44.4	36.7	6.1	0.9	4.6	3.0
LIHEAP recipient households ^d	49.2	29.3	11.3	1.1	5.0	2.7

^a The sum of the percentages across fuel types may not equal 100 percent due to rounding and exclusion of households that indicated in the 2009 Residential Energy Consumption Survey (RECS) that no heating fuel was used.

^b This category includes households using wood, coal, and other minor fuels as a main heating source and households reporting no main fuel.

^c Low-income households are households with annual incomes under the maximum specified in Section 2605(b)(2)(B) of the LIHEAP Act, 42 U.S.C. § 8624(b)(2)(B).

^d LIHEAP recipient households consist of households that are verified LIHEAP recipients from the 2009 RECS.

Note. LPG = liquefied petroleum gas

Source. Data are derived from the 2009 RECS. These data represent main heating fuel used in 2009.

Other findings from the 2009 RECS show that the estimated share of non-low-income households using electricity for home heating increased from 24.1 percent of households in September 1990 to 29.2 percent in 2005 to 31.9 percent in 2009. The estimated share of low-income households using electricity as the main heat source increased from 20 percent in September 1990 to 31.8 percent in 2005 to 36.7 percent in 2009. The estimated share of LIHEAP recipient households using electricity as their main heat source rose from 14.4 percent in September 1990 to 19.0 percent in 2005 to 29.3 percent in 2009.

Home Heating Consumption, Expenditures, and Burden

Tables II-4a and II-4b present data on average annual home heating consumption, home heating expenditures, and home heating burden (the percent of income spent on home heating) by household income group and heating fuel type for low-income households. For information on the methodology and terminology used to develop data on home heating, and for more detailed statistics by Census region, household income group, and main heating fuel type, see the report, *Low Income Home Energy Data for Fiscal Year 2016*.

In FY 2016, average home heating consumption for all households was estimated to be 31.6 MMBtus, average expenditures were about \$426, and mean individual home heating burden was about 2.2 percent.

Low-income households were estimated to have average home heating consumption of 28.2 MMBtus (about 11 percent less than the average for all households) and average home heating expenditures of \$394 (about 8 percent less than the average for all households). The mean individual home heating burden for low-income households was about 5.0 percent, over twice as much as the average home heating burden for all households and more than eight times the average home heating burden for non-low-income households.

Average home heating consumption for LIHEAP recipient households was estimated to be 37.0 MMBtus (about 17 percent higher than the average for all households), and average home heating expenditures were about \$499 (about 17 percent higher than the average for all households). Mean individual home heating burden for LIHEAP recipient households was about 5.8 percent, 0.8 percentage points higher than the average for low-income households and over twice the average for all households. Average home heating consumption for LIHEAP recipient households was about 31 percent greater than that for all low-income households because LIHEAP heating assistance recipient households tend to live in colder regions.

Table II-4a. Average Annual Household Home Heating Data by Household, Nationally, FY 2016

Household Type (All Fuels)	Fuel Consumption (MMBtus)^a	Fuel Expenditures	Mean Individual Burden^b	Median Individual Burden^c	Mean Group Burden^d
All households	31.6	\$426	2.2%	0.7%	0.5%
Non-low-income households	33.5	\$444	0.6	0.5	0.4

Household Type (All Fuels)	Fuel Consumption (MMBtus) ^a	Fuel Expenditures	Mean Individual Burden ^b	Median Individual Burden ^c	Mean Group Burden ^d
Low-income households	28.2	\$394	5.0	1.7	2.0
LIHEAP recipient households	37.0	\$499	5.8	2.2	3.0

^a A British thermal unit (Btu) is the amount of energy necessary to raise the temperature of 1 pound of water 1 degree Fahrenheit. MMBtus refer to values in millions of Btus.

^b Mean individual burden is calculated by taking the mean, or average, of individual energy burdens, as calculated from FY 2016 adjusted Residential Energy Consumption Survey (RECS) data. More information on the calculation of energy burden is available in the report, *Low Income Home Energy Data for Fiscal Year 2016*.

^c Median individual burden is calculated by taking the median of individual energy burdens, as calculated from FY 2016 adjusted RECS data.

^d Mean group energy burden has been calculated by (1) calculating average home heating energy expenditures from the 2009 RECS for each group of households, (2) adjusting those figures for FY 2016, and (3) dividing the adjusted figures by the average income for each group of households from the 2016 Current Population Survey Annual Social and Economic Supplement.

^e Liquefied petroleum gas (LPG) refers to any fuel gas supplied to a residence in liquid compressed form, such as propane or butane.

Source. Data are derived from the 2009 RECS, adjusted to reflect FY 2016 heating degree days and fuel prices. Data represent home heating energy used from October 2015 through September 2016.

Table II-4b. Average Annual Household Home Heating Data by Main Heating Fuel, Nationally, FY 2016

Main Heating Fuel (Low-Income Households)	Fuel Consumption (MMBtus) ^a	Fuel Expenditures	Mean Individual Burden ^b	Median Individual Burden ^c	Mean Group Burden ^d
All fuels	28.2	\$394	5.0%	1.7%	2.0%
Natural gas	43.6	\$445	5.4	2.0	2.3
Electricity	8.6	\$277	4.3	1.4	1.4
Fuel oil	55.4	\$815	8.7	3.9	4.2
Kerosene	29.6	\$486	5.1	3.0	2.5
LPG ^e	40.5	\$810	8.5	3.9	4.2

^a A British thermal unit (Btu) is the amount of energy necessary to raise the temperature of 1 pound of water 1 degree Fahrenheit. MMBtus refer to values in millions of Btus.

^b Mean individual burden is calculated by taking the mean, or average, of individual energy burdens, as calculated from FY 2016 adjusted Residential Energy Consumption Survey (RECS) data. More information on the calculation of energy burden is available in the report, *Low Income Home Energy Data for Fiscal Year 2016*.

^c Median individual burden is calculated by taking the median of individual energy burdens, as calculated from FY 2016 adjusted RECS data.

^d Mean group energy burden has been calculated by (1) calculating average home heating energy expenditures from the 2009 RECS for each group of households, (2) adjusting those figures for FY 2016, and (3) dividing the adjusted figures by the average income for each group of households from the 2016 Current Population Survey Annual Social and Economic Supplement.

^e Liquefied petroleum gas (LPG) refers to any fuel gas supplied to a residence in liquid compressed form, such as propane or butane.

Source. Data are derived from the 2009 RECS, adjusted to reflect FY 2016 heating degree days and fuel prices. Data represent home heating energy used from October 2015 through September 2016.

Home Cooling Data

This section presents data on home cooling type, home cooling consumption, home cooling expenditures, and home cooling burden. In general, the home cooling data are less reliable than the home heating data for LIHEAP recipient households because there are fewer LIHEAP cooling recipient households in the RECS sample.

Cooling Type

As shown in Table II-5, about 92.5 percent of households in 2009 cooled their homes. Low-income households were less likely to cool their homes than were non-low-income households.

Table II-5. Percent of Households with Home Cooling, 2009

Presence of Cooling	All Households	Non-Low-Income Households	Low-Income Households ^a	LIHEAP Recipient Households ^b
Cooling ^c	92.5%	94.3%	89.1%	88.6%
None ^d	7.5	5.7	10.9	11.4

^a Households with annual incomes under the maximum in Section 2605(b)(2)(B) of the LIHEAP Act, 42 U.S.C. § 8624(b)(2)(B).

^b Includes verified LIHEAP recipient households from the 2009 Residential Energy Consumption Survey (RECS).

^c Represents households that cool with central or room air conditioning as well as non-air conditioning cooling devices (e.g., ceiling fans and evaporative coolers).

^d Represents households that do not cool or cool in ways other than those defined by the 2009 RECS (e.g., table and window fans).

Source. Data are derived from the 2009 RECS.

Home Cooling Consumption, Expenditures, and Burden

Table II-6 presents data on average annual home cooling consumption, home cooling expenditures, and home cooling burden (the percent of income spent on home cooling), for households that cool, by household income group. For information on the methodology and terminology used to develop data on home cooling and for more detailed statistics by Census region, household income group, and main heating fuel type, see the report, *Low Income Home Energy Data for FY 2016*.

In FY 2016, average home cooling consumption for all households that cooled their homes was estimated to be 7.4 MMBtus, average expenditures were about \$285, and mean individual home cooling burden was about 1.2 percent.

Low-income households that cooled were estimated to have average home cooling energy consumption of 5.4 MMBtus (about 27 percent less than the average for all households) and average home cooling expenditures of about \$204 (about 28 percent less than the average for all households). The mean individual home cooling burden for low-income households was about 2.6 percent, more than twice the average home cooling burden of all households and about six times that of non-low-income households.

Average home cooling consumption for LIHEAP recipient households that cooled was estimated to be 4.4 MMBtus (about 41 percent less than the average for all households), and average home cooling expenditures were about \$164 (about 42 percent less than the average for all households). The mean individual home cooling burden for LIHEAP recipient households was about 1.7 percent, about 42 percent higher than that for all households. On average, LIHEAP recipient households consumed about 19 percent fewer Btus for cooling than did all low-income households.

Table II-6. Percent of Households that Cool and Average Annual Household Home Cooling Data by Household Type, Nationally, FY 2016

Household Type	Percent that Cool ^a	Consumption (MMBtus) ^b	Expenditures	Mean Individual Burden ^c	Median Individual Burden ^c	Mean Group Burden ^c
All households	92.5%	7.4	\$285	1.2%	0.3%	0.4%
Non-low-income households	94.3	8.5	\$326	0.4	0.3	0.3
Low-income households ^d	89.1	5.4	\$204	2.6	0.7	1.1
LIHEAP recipient households ^e	88.6	4.4	\$164	1.7	0.5	1.0

^a Cooling includes central and room air conditioning, as well as non-air conditioning cooling devices (e.g., ceiling fans, evaporative coolers). Excludes households that do not cool or cool in ways other than those recorded by the 2009 Residential Energy Consumption Survey (RECS) (e.g., table and window fans).

^b A British thermal unit (Btu) is the amount of energy necessary to raise the temperature of 1 pound of water 1 degree Fahrenheit. MMBtus refer to values in millions of Btus.

^c Represents the percent of household income used for home cooling energy expenditures. More information on the calculation of energy burden is available in the report [Low Income Home Energy Data for Fiscal Year 2016](#).

^d Households with annual incomes under the maximum in Section 2605(b)(2)(B) of the LIHEAP Act, 42 U.S.C. § 8624(b)(2)(B).

^e Includes verified LIHEAP recipient households from the 2009 RECS.

Source. Data are derived from the 2009 RECS, adjusted to reflect FY 2016 cooling degree days and electricity prices. Data represent home cooling energy used from October 2015 through September 2016.

III. Household Data

Part III provides household data required under Section 2610(a) of the LIHEAP Act, 42 U.S.C. § 8629(a). National data about LIHEAP income-eligible and -assisted households are included in this section of the report. National data about LIHEAP income-eligible households are derived from the 2016 Current Population Survey (CPS) Annual Social and Economic Supplement (ASEC) and the 2009 RECS. National and state-level data about assisted households also are included in this report. State-level data on LIHEAP-assisted households are derived from each state's *LIHEAP Household Report for FY 2016* that was submitted to HHS as part of each grant recipient's application for FY 2016 LIHEAP funds. The above data sources are described in *Appendix A* on the [LIHEAP Reports to Congress page of ACF's website](#).

The Food and Nutrition Act of 2008, 7 U.S.C. § 2014(5)(e)(6)(C)(iv), as amended by section 4006 of the Agricultural Act of 2014 (P.L. 113-79), allows states to link a nominal LIHEAP benefit to the heating or cooling standard utility allowance (HCSUA) provided to households receiving benefits from the U.S. Department of Agriculture's Supplemental Nutrition Assistance Program (SNAP). A household must receive more than \$20 annually in LIHEAP benefits to qualify for the SNAP HCSUA. HHS identified nine states that provided nominal LIHEAP benefits totaling an estimated \$21,422,816 to 922,922 households in FY 2016. More information on which states provided nominal LIHEAP benefits, and the number of households assisted, is available in Supplemental Table III-2 on the [LIHEAP Reports to Congress page of ACF's website](#).

As in the previous federal fiscal year, states were required to provide an unduplicated count of households that received "any type of LIHEAP assistance," regardless of the type of LIHEAP assistance provided to households (including LIHEAP weatherization assistance). However, this unduplicated count of households that received "any type of LIHEAP assistance" was not broken down by percentage of HHSPG, as it was not requested from the states.

Separate unduplicated counts of the number of assisted households with any vulnerable members (i.e., older adult, member with a disability, or a young child), regardless of the type of LIHEAP assistance provided to households, and an unduplicated count of the number of assisted households having at least one vulnerable member, regardless of the type of LIHEAP assistance provided to households, were also required. Finally, an unduplicated count of the number of assisted households by vulnerable group for each type of LIHEAP assistance provided in FY 2016 was also required.

Forty-nine states were able to provide an unduplicated count of assisted households that received "any type of LIHEAP assistance" in FY 2016, while two states were unable to provide such an unduplicated count of assisted households. One additional state was unable to provide a breakdown of its unduplicated count of households that received "any type of LIHEAP assistance" that had any vulnerable members (i.e., older adult, a member with a disability, or a young child). OCS is continuing to provide targeted T&TA to grant recipients that are still trying to improve reporting capacity with other coordinating agencies providing services.

Number of Households

The national numbers of households receiving LIHEAP assistance in FY 2016, by type of assistance, are shown in Table III-1. State-level numbers of households receiving LIHEAP assistance in FY 2016, by type of assistance, are shown in Table III-2.

Table III-1. Number of LIHEAP-Assisted Households and States Providing Assistance, by Type of Assistance, as Reported by States, FY 2016

Type of LIHEAP Assistance	Number of States	Number of Assisted Households
Heating	51	5,182,344
Cooling ^a	20	694,265
Winter crisis ^b	30	785,827
Year-round crisis	21	370,117
Summer crisis	7	110,173
Weatherization ^c	47	67,802
Any type	49	5,899,893 ^d

^a The total number of states providing cooling assistance benefits to households (20) differs from the total number of states obligated funding to cooling assistance (19, see Table I-6) because one state (North Dakota) assisted households with non-crisis cooling equipment repair and replacement services using funding obligated to emergency cooling equipment repair and replacement, but reported such households under cooling assistance.

^b Includes data for households assisted by two states (Alaska and Massachusetts) that provided winter crisis fuel assistance by expediting heating assistance within a statutorily required crisis response time frame.

^c Forty-seven states provided weatherization assistance in FY 2016. This total includes states that weatherized households during FY 2016 with funds from FY 2015. Therefore, this total is not comparable to the total number of states that provided FY 2016 weatherization assistance benefits under "Uses of Funds" (Table I-6).

^d Two states were unable to report on households receiving "any type of LIHEAP assistance" in FY 2015.

Source. These data are collected from the *LIHEAP Household Report for FY 2016*. These data are current as of May 31, 2017.

Table III-2. Number of LIHEAP-Assisted Households, by Type of Assistance and State, as Reported by States, FY 2016^a

State	Heating Assistance	Cooling Assistance ^b	Winter Crisis Assistance ^c	Year-Round Crisis Assistance	Summer Crisis Assistance	Weatherization Assistance	Any Type of Assistance ^d
Total	5,182,344	694,265	785,827	370,117	110,173	67,802	5,899,893
Alabama	52,337	48,403	12,274	0	9,881	209	76,948
Alaska ^c	8,347	0	1,243	0	0	79	8,385
Arizona	8,243	13,661	0	4,910	0	447	23,726
Arkansas	45,655	42,433	10,873	0	12,327	122	63,797
California	130,685	--	0	83,161	0	15,331	219,265
Colorado	79,028	0	12,660	0	0	510	79,028
Connecticut	90,661	0	22,753	0	0	168	90,661
Delaware	13,293	7,106	0	6,808	j0	33	13,633
Dist. of Col.	8,335	1,192	0	2,646	0	0	12,173
Florida	35,987	38,692	34,131	0	37,346	1,190	118,624
Georgia	101,630	0	26,493	0	0	419	128,481
Hawaii	8,269	--	0	537	0	0	8,806
Idaho	30,559	0	0	1,919	0	833	32,399
Illinois	223,465	0	27,493	0	0	2,246	230,121
Indiana	103,159	102,820	17,381	0	0	1,040	104,874
Iowa	80,346	0	0	4,008	0	1,463	80,346
Kansas	37,216	0	2,478	0	0	678	40,265
Kentucky	81,935	0	79,212	0	0	526	118,148
Louisiana	30,853	38,509	0	12,331	0	481	68,560
Maine	32,219	0	1,981	0	0	755	32,252
Maryland	104,480	0	0	9,369	0	0	104,480
Massachusetts ^c	164,763	0	13,114	0	0	10,151	164,763
Michigan	322,711	0	58,580	0	0	1,182	454,482
Minnesota	132,786	0	40,476	0	0	1,073	132,855
Mississippi	23,801	21,221	1,627	0	703	356	36,451
Missouri	121,820	0	46,217	0	24,968	1,492	135,638
Montana	17,769	0	0	678	0	959	17,774
Nebraska	41,185	12,382	0	7,750	0	197	43,689
Nevada	24,899	--	0	434	0	86	24,965
New Hampshire	32,082	0	1,228	0	0	191	32,082
New Jersey	259,887	51,415	24,577	0	0	998	273,831
New Mexico	30,429	23,034	9,694	0	1,395	375	64,813
New York	1,020,621	4,141	91,671	0	0	5,314	1,034,274
North Carolina	128,493	0	0	112,432	0	1,734	191,288
North Dakota	12,298	97	0	1,116	0	1,048	12,298
Ohio	397,207	0	118,096	0	23,553	3,429	407,336
Oklahoma	87,770	89,931	0	3,934	0	233	121,680

State	Heating Assistance	Cooling Assistance ^b	Winter Crisis Assistance ^c	Year-Round			Any Type of Assistance ^d
				Crisis Assistance	Summer Crisis Assistance	Weatherization Assistance	
Oregon	60,641	1,431	0	6,632	0	1,027	61,608
Pennsylvania	345,233	0	89,735	0	0	1,079	345,791
Rhode Island	29,772	0	2,781	0	0	1,284	29,772
South Carolina	14,302	8,576	0	26,485	0	65	42,425
South Dakota	21,063	0	1,112	0	0	0	22,180
Tennessee	58,647	24,430	0	22,334	0	205	105,591
Texas ^d	10,372	98,437	0	22,886	0	2,472	NA
Utah	30,651	0	0	896	0	470	31,082
Vermont	21,563	0	2,948	0	0	312	21,715
Virginia	118,219	66,354	16,306	0	0	1,044	145,788
Washington	75,139	0	13,678	0	0	887	76,105
West Virginia ^d	62,708	0	3,470	0	0	628	NA
Wisconsin	199,191	0	0	38,851	0	2,475	205,025
Wyoming	9,620	0	1,545	0	0	506	9,620

^a The data in this table are current as of May 31, 2017.

^b A designation of “-” applies to those states that did not provide a separate count for cooling assistance because (1) their heating assistance household counts include, and cooling assistance household counts exclude, households that received combined heating and cooling assistance (California, Nevada), or (2) households received energy assistance with no differentiation made between heating and cooling assistance (Hawaii). These states reported such household counts under heating assistance.

^c Households in winter fuel crisis situations (Alaska and Massachusetts) were assisted solely through expedited heating assistance. These states reported such household counts under the type of crisis assistance, but reported the funding obligated under heating assistance (Table I-7).

^d The national total unduplicated count of households receiving any type of LIHEAP assistance excludes data that were reported incorrectly by two states (Texas, West Virginia). Such instances are marked with “NA” as data were not available.

Income Levels

Section 2605(b)(2) of the LIHEAP Act, 42 U.S.C. § 8624(b)(2), sets LIHEAP income eligibility for households with incomes that do not exceed the greater of 150 percent of HHSPG and 60 percent of SMI. Grant recipients cannot set LIHEAP income eligibility below 110 percent of HHSPG. Grant recipients have the flexibility to set additional program criteria (e.g., asset tests) to determine whether a household is eligible for LIHEAP.

Income Eligibility Guidelines

The SMI estimates for FY 2016 were in effect for LIHEAP at the beginning of FY 2016 (October 1, 2015). They were published on June 10, 2015, on pages 32958-32959 of Vol. 80, No. 111 of the *Federal Register (FR)*; they can be found at <https://www.gpo.gov/fdsys/pkg/FR-2015-06-10/pdf/2015-14187.pdf>.

The HHSPG estimates for 2015 were in effect for LIHEAP at the beginning of FY 2016 (October 1, 2015). They were published on January 22, 2015, on pages 3236-3237 of Vol. 80, No. 14 of the *Federal Register (FR)*; they can be found at <https://www.gpo.gov/fdsys/pkg/FR->

[2015-01-22/pdf/2015-01120.pdf](https://www.ehponline.org/doi/pdf/2015-01120.pdf). The federal maximum standard for LIHEAP income eligibility guidelines in effect in FY 2016 were the greater of 150 percent of HHSPG or 60 percent of SMI.

Estimated Number of LIHEAP Income-Eligible Households

The number of LIHEAP income-eligible households in each state cannot be estimated precisely. Typically, states operate LIHEAP only for part of a year. No source provides seasonal, state-specific data on income and categorical eligibility for LIHEAP. Also, states may use gross household income or net household income in determining LIHEAP income eligibility. Furthermore, a state may annualize 1 or more months of a household's income to test against its LIHEAP income standard. Given these qualifications, the 2016 CPS ASEC data indicate that an estimated:

- 37.1 million households had incomes at or under the federal income maximum of the greater of 150 percent of HHSPG or 60 percent SMI; and
- 30.4 million households had incomes at or under the stricter state income standards that can range from 110 percent of poverty to the federal income maximum as adopted by state.

Previous state estimates indicate that about two-thirds of the national total of households receiving winter or year-round crisis assistance also receive regular heating assistance. Accounting for this overlap among households receiving both types of assistance, an estimated 5.6 million households received help with heating costs through heating, winter, or year-round crisis in FY 2016 compared to 6.0 million households in FY 2015.

The estimated 5.6 million households that received help with heating costs in FY 2016 represent about 15 percent of all households with incomes under the federal income maximum, and about 18 percent of all households with incomes under the stricter income standards adopted by many states.

Estimated Income Levels

As shown in Table III-3, LIHEAP households receiving heating assistance were among the poorer households compared to LIHEAP income-eligible households under federal or state income standards. Part of this population also may have received federal funds for home energy-related expenses from other sources (e.g., Temporary Assistance for Needy Families [TANF], subsidized rent, or public housing). In creating Table III-3, ACF relied on the 2016 CPS ASEC to develop the percent distributions of LIHEAP income-eligible households. ACF relied on the states' *LIHEAP Household Reports for FY 2016* for development of the percent distribution of LIHEAP heating assistance households.

Please note the following caveats about the data in Table III-3:

- Comparison of poverty level distributions between CPS ASEC data and state-reported data should be viewed with caution as there may be differences in how the two data sources count household income.

- Some assisted households may have gross incomes that exceed the federal or state income maxima if states used net income or calculated household income for several months in determining LIHEAP income eligibility.
- The median poverty level, based on the 2015 HHSPG and adjusted for household size, is 114.7 percent for LIHEAP income-eligible households that are at or below the previous federal LIHEAP income maximum (60 percent SMI), using the 2016 CPS ASEC.
- The median poverty level, based on the 2015 HHSPG and adjusted for household size, is 100.4 percent for LIHEAP income-eligible households under the stricter state LIHEAP income standards, using the 2016 CPS ASEC.
- The median poverty level, based on the 2015 HHSPG and adjusted for household size, is 86.1 percent for LIHEAP heating assistance households, based on data aggregated from each state's *LIHEAP Household Report for FY 2016*.

Table III-3. Percent of LIHEAP Income-Eligible Households Compared to LIHEAP Heating-Assisted Households, as Estimated from the 2016 CPS ASEC and States' LIHEAP Household Reports for FY 2016

	Under 75% of 2015 HHSPG	75%– 100% of 2015 HHSPG	101%– 125% of 2015 HHSPG	126%– 150% of 2015 HHSPG	Over 150% of 2015 HHSPG
Low-Income Households					
At or below federal income maximum standard	26.5%	14.2%	15.8%	15.6%	28.0%
At or below state income standards	32.4	17.3	18.7	16.0	15.5
LIHEAP-assisted households (heating assistance) ^a	37.3	28.5	16.7	9.5	8.1

^a These data are current as of May 31, 2017.

Source. Table III-3 is based on state-reported data on the *LIHEAP Household Report for FY 2016* and population estimates of LIHEAP income-eligible households—those eligible under the federal income maximum (the greater of 60 percent of state median income and 150 percent of U.S. Department of Health and Human Services Poverty Guidelines [HHSPG])—from the 2016 Current Population Survey Annual Social and Economic Supplement (CPS ASEC).

LIHEAP Benefit Levels

As shown in Table III-4, there was a wide variation in benefit levels in FY 2016 nationally among the types of assistance, as in previous years. The national average benefit was \$339 for heating assistance, which increased to \$397 when heating and winter and/or year-round crisis fuel assistance were combined to account for the overlap in households receiving both heating assistance benefits, and fuel crisis benefits for heating purposes. The national average benefit was \$396 for winter crisis assistance only and \$392 for year-round crisis assistance only. The national average benefit was \$350 for cooling assistance, and the national average benefit was \$263 for summer crisis assistance. The combined benefit for heating purposes (heating and winter and/or year-round crisis) represented a 7 percent increase from that in FY 2015 (\$371) and 8 percent increase from that in FY 2014 (\$366). State-level benefit data are shown in Table III-5.

ACF gathered household average benefits shown in Tables III-4 and III-5 from state-reported estimates from the *LIHEAP Performance Data Form - Grantee Survey Section for FY 2016*, as

described in *Appendix A* on the [LIHEAP Reports to Congress](#) page of ACF’s website. This data collection did not estimate household average benefits for weatherization assistance. Such estimates would not be comparable to estimated household average benefits for the other types of LIHEAP assistance due to the relatively larger role of labor and other support costs involved in weatherization and wide variations in how states define low-cost weatherization. The data do not reflect average benefits for furnace or air conditioner repair/replacement. In addition, average benefits are not comparable to calculations of the amount of obligated funds per household due to states obligating funds in one federal fiscal year but expending them in the next federal fiscal year.

Table III-4. Estimated Average and Range of LIHEAP Fuel Assistance Benefit Levels, by Type of LIHEAP Assistance, FY 2016^a

Type of Assistance	Average Household Benefit	Household Benefit Range
Heating ^b	\$339	\$77–\$1,097
Cooling	350	75–1,292
Winter crisis	396	148–716
Year-round crisis	392	107–819
Summer crisis	263	153–448

^a The data in this table are current as of May 31, 2017.

^b Average household benefits do not include funds used for nominal Supplemental Nutrition Assistance Program (SNAP) heating assistance as Administration for Children and Families required grant recipients to break out obligations and households assisted with nominal LIHEAP benefits for FY 2016.

Table III-5. Estimated Household Average Benefits for Fuel Assistance, by Type of Assistance and State, FY 2016^a

State	Heating Assistance	Cooling Assistance ^b	Winter Crisis Assistance ^c	Year-Round Crisis Assistance	Summer Crisis Assistance
Alabama	\$314	\$306	\$312	\$0	\$320
Alaska	1,097	0	--	0	0
Arizona	468	525	0	420	0
Arkansas	200	143	427	0	153
California	331	--	0	499	0
Colorado	389	0	414	0	0
Connecticut	686	0	312	0	0
Delaware	483	166	0	107	0
Dist. of Columbia	722	1,292	0	289	0
Florida	357	386	370	0	339
Georgia	338	0	342	0	0
Hawaii	580	--	0	324	0
Idaho	356	0	0	202	0
Illinois	402	0	386	0	0
Indiana	439	75	204	0	0
Iowa	472	0	0	126	0
Kansas	567	0	716	0	0
Kentucky	138	0	203	0	0
Louisiana	431	434	0	269	0
Maine	656	0	221	0	0
Maryland	576	0	0	564	0
Massachusetts	641	0	--	0	0
Michigan	118	0	625	0	0
Minnesota	477	0	507	0	0
Mississippi	444	442	451	0	448
Missouri	267	0	473	0	248
Montana	571	0	0	746	0
Nebraska	402	598	0	267	0
Nevada	370	--	0	419	0
New Hampshire	646	0	320	0	0
New Jersey	277	303	366	0	0
New Mexico	218	211	219	0	208
New York	446	702	399	0	0
North Carolina	233	0	0	135	0

State	Heating Assistance	Cooling Assistance^b	Winter Crisis Assistance^c	Year-Round Crisis Assistance	Summer Crisis Assistance
North Dakota	486	0	0	217	0
Ohio	221	0	262	0	191
Oklahoma	77	172	0	240	0
Oregon	306	369	0	359	0
Pennsylvania	297	0	423	0	0
Rhode Island	850	0	650	0	0
South Carolina	671	811	0	819	0
South Dakota	944	0	291	0	0
Tennessee	450	450	0	450	0
Texas	391	772	0	384	0
Utah	386	0	0	276	0
Vermont	509	0	668	0	0
Virginia	360	229	324	0	0
Washington	373	0	373	0	0
West Virginia	340	0	227	0	0
Wisconsin	341	0	0	318	0
Wyoming	570	0	148	0	0

^a The data in this table are current as of May 31, 2017. Average benefits do not include funds used to provide nominal benefits to Supplemental Nutrition Assistance Program (SNAP) households or households assisted with such benefits as grant recipients were required to break out these obligations and households for FY 2016.

^b A designation of "--" indicates for cooling assistance that combined heating and cooling assistance was provided (California, Nevada), or energy assistance was provided with no differentiation made between heating and cooling assistance (Hawaii). These states reported such funds under heating assistance.

^c A designation of "--" indicates for winter crisis assistance that such states did not prove a separate count because they provided households in winter or year-round crisis assistance with expedited heating assistance (Alaska, Massachusetts).

LIHEAP Offset of Average Heating Costs

The purpose of LIHEAP is to assist low-income households, particularly those with the lowest incomes that pay a high proportion of household income for home energy, primarily in meeting their immediate home energy needs. LIHEAP is not intended to pay or offset the entire home energy costs of low-income households. Rather, LIHEAP supplements other resources available to households for paying home energy costs. The percent of heating costs offset by LIHEAP assistance in FY 2016 varied by Census region, as shown in Table III-6. Data for a reliable percent of cooling costs offset by LIHEAP assistance are not available

Table III-6. Average Percent of Annual Residential Energy and Heating Costs for LIHEAP Recipient Households, Nationally and by Census Region, FY 2016^a

Census Region	Average LIHEAP Household Residential Energy Costs ^b	Average LIHEAP Household Heating Costs	Average LIHEAP Benefit for Heating Costs ^b	Percentage of Residential Energy Costs Offset by LIHEAP Benefit ^c	Percentage of Heating Costs Offset by LIHEAP Benefit ^d
Total	\$1,854	\$499	\$397	21.4%	79.6%
Northeast	2,093	690	382	18.3	55.4
Midwest	1,762	518	379	21.5	73.1
South	1,914	333	416	21.7	124.8
West ^e	1,228	275	474	38.6	172.3

^a Adjusted weighted averages are derived from the 2009 Residential Energy Consumption Survey (RECS).

^b Average benefit was calculated by dividing the sum of state estimates of obligated funds for heating, winter crisis, and year-round crisis assistance from states' *LIHEAP Performance Data Form - Grantee Survey Section for FY 2016* by the number of households that received heating, winter crisis, and/or year-round crisis assistance from states' *LIHEAP Household Reports for FY 2016*. The data reported on these forms are current as of May 31, 2017.

^c LIHEAP fuel assistance is intended to assist eligible households with that portion of residential energy used for home energy (i.e., home heating or cooling).

^d Percent offset of cooling costs by LIHEAP fuel assistance is not available.

^e Percent of heating costs offset by LIHEAP benefit includes the benefits of three western states that either provided combined heating and cooling assistance or made no differentiation between heating and cooling assistance and that reported such benefits under heating assistance. This resulted in a somewhat larger percentage of heating costs offset by LIHEAP heating benefits in the West Census Region.

Household Characteristics

States are required to report on the number and income levels of households assisted and the number of assisted households having at least one member who is an older adult (i.e., 60 years old or older), a member with a disability, or a young child (i.e., 5 years old or younger). In addition, states are required to report the number and income levels of households applying for LIHEAP assistance, not just those households that received LIHEAP assistance (42 U.S.C. § 8624(c)(1)(G)). However, the statute does not require that the data on applicant households be included in the *LIHEAP Report to Congress* (42 U.S.C. § 8629). Given the different ways states define “applicant household,” the data at the national level are not uniform and are not included in this report.

This section includes national tables which show the number of households receiving each type of LIHEAP assistance, by household poverty levels. This section also includes national tables that show for each type of assistance the percentage of LIHEAP recipient households that contained at least one member who is an older adult, a member with a disability, or young child. The information is derived from each state’s *LIHEAP Household Report for FY 2016* that was submitted to HHS. State-specific supplemental tables showing the number of households receiving each type of assistance, by household poverty levels and for households containing vulnerable members (older adult, member with a disability, or young children) are available in Supplemental Tables III-7a to III-7f and Supplemental Tables III-8a to III-8g, both on the [LIHEAP Reports to Congress page of ACF’s website](#).

As shown by the state-reported data in Table III-7, year-round crisis assistance had the greatest percentage of assisted households under 75 percent of poverty compared to other types of assistance (50.9 percent of year-round crisis recipients). Weatherization assistance had the greatest percentage of assisted households over 150 percent of the poverty level (22.8 percent of weatherization assistance recipients).

The national percentages listed in Table III-7 are calculated for those states that reported complete data by type of LIHEAP assistance. On the [LIHEAP Reports to Congress page of ACF's website](#), Supplemental Tables III-7a to III-7f show state-level data and Table A-1 in *Appendix A* indicates the percentages of assisted households for which uniform data are provided. Uniform data on households classified by intervals of the 2015 HHSPG was 100 percent for all types of assistance (heating, cooling, winter crisis, year-round crisis, summer crisis assistance, and weatherization assistance).

Table III-7. Percent of Assisted Households, Classified by 2015 U.S. Department of Health and Human Services (HHS) Poverty Guideline Intervals, by Type of LIHEAP Assistance, Nationally, FY 2016^a

2015 HHS Poverty Guideline Intervals ^b	Heating Assistance ^c	Cooling Assistance	Winter Crisis Assistance ^d	Year-Round Crisis Assistance	Summer Crisis Assistance	Weatherization Assistance
Under 75%	37.3%	45.1%	49.8%	50.9%	49.9%	27.1%
75%-100%	28.5	31.0	21.1	23.0	21.1	19.3
101%-125%	16.7	14.4	13.8	12.9	13.9	16.1
126%-150%	9.5	6.8	8.7	7.9	8.4	14.6
Over 150%	8.1	2.7	6.5	5.3	6.7	22.8

^a The data in this table are current as of May 31, 2017. Percent distributions may not add up to 100 percent across income levels due to rounding.

^b Poverty percentages are computed using gross household incomes adjusted by household size. However, there are states that use net household income in determining income eligibility. For those states, the distribution of poverty percentages could be skewed towards the higher end of the poverty level.

^c One state (Pennsylvania) was unable to provide income data for a total of 213 households that received heating assistance.

^d Two states (Pennsylvania and Vermont) were unable to provide income data for a total of 151 households that received winter crisis assistance.

Presence of Older Adults, Members with a Disability, and Young Children

The following information is based on state-reported data on the *LIHEAP Household Report for FY 2016* and population estimates on LIHEAP income-eligible households—those eligible under the federal income maximum (the greater of 60 percent of SMI and 150 percent of HHSPG)—from the 2016 CPS ASEC (as displayed in Table III-8):

- About 36.6 percent of households receiving heating assistance included at least one older adult member (i.e., 60 years or older), compared to 42.4 percent of all low-income households under the federal income maximum that have at least one older adult member. The percentage of assisted households with at least one older adult member ranged from 22.4 percent for winter crisis assistance to 47.2 percent for weatherization assistance.
- About 39.6 percent of households receiving heating assistance included at least one member with a disability (as defined by the states), compared to 29.1 percent of all low-income households under the federal income maximum that have at least one member with a disability. The percentage of assisted households with at least one member with a disability, as defined by the states, ranged from 32.2 percent for year-round crisis assistance to 47.3 percent for cooling assistance.
- About 18.1 percent of households receiving heating assistance included at least one child 5 years old or younger; compared to 16.7 percent of all low-income households under the federal income maximum that have at least one child 5 years old or younger. The percentage of assisted households with at least one young child ranged from 15.5 percent for weatherization assistance to 28.7 percent for year-round crisis assistance.

Definitions of “older adult,” “disability,” and “young child” are as follows: “older adult” refers to a person who is 60 years old or older; “disability” varies from state-to-state; and “young child”

is a person who is 5 years old or younger. A household could have members that were reported in more than one of the three groups of vulnerable households.

The national percentages listed in Table III-8 are calculated for those states which reported complete data, by type of LIHEAP assistance. On the [LIHEAP Reports to Congress page of ACF’s website](#), *Supplemental Tables III-8a to III-8g* show state-level data and Table A-1 in Appendix A indicates the percentages of assisted households for which uniform data are provided. Uniform data on households classified as vulnerable ranged for 99.4 percent for weatherization assistance to 100 percent for all other types of assistance (heating, cooling, winter crisis, year-round crisis, and summer crisis assistance). Uniform data for an unduplicated count of households with at least one older adult, member with a disability, or young child were much lower as some states were unable to provide these data.

Table III-8. Percent of Assisted Households with at Least One Member Who Is an Older Adult, a Member with a Disability, or a Young Child, by Type of Assistance, Nationally, FY 2016^a

Type of Vulnerable Household	Heating Assistance	Cooling Assistance	Winter Crisis Assistance	Year-Round Crisis Assistance	Summer Crisis Assistance	Weatherization Assistance ^b	Any Type of Assistance
Older adult	36.6%	37.9%	22.4%	24.4%	30.5%	47.2%	NA ^c
Member with a disability	39.6	47.3	37.3	32.3	40.6	32.6	NA
Young child	18.1	19.1	23.1	28.7	19.4	15.5	NA
Older adult, member with a disability, or young child ^d	71.6	73.0	64.7	67.3	67.9	73.4	NA

^a The data in this table are current as of May 31, 2017.

^b Weatherization data do not represent complete national data since Georgia and Texas were unable to report on the vulnerability status of households assisted with weatherization.

^c “NA” indicates that data were not available or were reported incorrectly. Two states were unable to provide a reliable unduplicated count of households that received any type of LIHEAP assistance, and one additional state was unable to provide a reliable unduplicated count of vulnerable members in households which received any type of LIHEAP assistance.

^d “Older adult, member with a disability, or young child” data do not represent complete national data since Texas was unable to provide an unduplicated count of households with a least one vulnerable member that received heating assistance, cooling assistance, year-round crisis assistance, weatherization assistance, and any type of LIHEAP assistance.

IV. Program Implementation Data

Part IV provides program information and data about the provision of the types of LIHEAP assistance, the implementation of LIHEAP assurances, the provision of energy crisis intervention, and the results of HHS monitoring reviews of LIHEAP grant recipient programs in FY 2016.

Types of LIHEAP Assistance

State LIHEAP grant recipients obligated FY 2016 funds for the following types of LIHEAP assistance:

- All states provided either heating assistance or home energy benefits that did not distinguish between heating and cooling assistance.
- All states furnish crisis assistance of some kind.
- For households facing winter energy crises, 28 states provided separate winter crisis fuel assistance benefits; two states provided winter crisis fuel assistance benefits *only* through expedited access to heating assistance.
- For households facing year-round (i.e., 10–12 months) energy crises, 21 states provided separate year-round crisis fuel assistance benefits that may have assisted households facing energy crises during the summer.
- Three states provided combined heating and cooling assistance benefits; 19 states provided separate cooling assistance benefits; and seven states provided separate summer crisis benefits.
- Thirty-one states specified that they served households with emergency furnace or air conditioner replacement/repair benefits.
- Forty-eight states obligated funding for weatherization assistance benefits, including one state that received an extension for its weatherization program and will report on the households assisted with FY 2016 funds in FY 2017.

Implementation of LIHEAP Assurances

To receive LIHEAP regular block grant funds in FY 2016, grant recipients were required by Section 2605(b) of the LIHEAP Act, 42 U.S.C. § 8624(b), to submit 16 assurances signed by the chief executive officer and a plan describing:

- Eligibility requirements for each type of assistance provided, including criteria for designating an emergency under the crisis assistance component.
- Benefit levels for each type of assistance.
- Estimates of the amount of funds to be used for each component and alternate uses of funds reserved for crisis assistance in the event they are not needed for that purpose.

- Any steps to be taken (in addition to those required to be carried out in Section 2605(b)(5) of the LIHEAP Act, 42 U.S.C. § 8624(b)(5)) to target households with high home energy burdens.
- How the grant recipient will carry out the 16 assurances required by Section 2605(b) of the LIHEAP Act, 42 U.S.C. § 8624(b).
- Weatherization and other energy-related home repair services, if any, to be provided, and the extent to which the grant recipient will use the DOE's Low-Income Weatherization Assistance Program rules for its weatherization component.
- Information on the number and income of households served during the previous year, and the number of households with older adult members (60 years or older), members with a disability (as defined by the states), or young children (5 years old or younger).

As required under Section 2610(b) of the LIHEAP Act, 42 U.S.C. § 8629(b), this report provides information about the overall manner in which states carried out the assurances described in Section 2605(b)(2), (5), (8), and (15) of the LIHEAP Act, 42 U.S.C. § 8624(b). Section 2605(b)(15) covers outreach and intake sites for energy crisis intervention programs. This report also provides information about energy crisis intervention programs, as required by Section 2604(c) of the LIHEAP Act, 42 U.S.C. § 8623(c).

Household Eligibility

The unit of eligibility for LIHEAP is the household, which is defined by the LIHEAP statute as “any individual or group of individuals who are living together as one economic unit for whom residential energy customarily is purchased in common or who make undesignated payments for energy in the form of rent.” Section 2605(b)(2) of the LIHEAP Act, 42 U.S.C. § 8624(b)(2), allows LIHEAP grant recipients to use two standards in determining household eligibility for LIHEAP assistance:

- **Categorical eligibility** for households with one or more individuals receiving TANF, Supplemental Security Income, SNAP (formerly Food Stamps), or certain needs-tested veteran benefits, without regard for household income.

Categorical eligibility is a rarely used eligibility standard, although a few states make automatic payments to households that receive assistance under one or more of the public assistance programs that confer categorical eligibility.

- **Income eligibility** for households with incomes not exceeding the greater of 150 percent of HHSPG and 60 percent of SMI. Grant recipients may target assistance to poorer households by setting income levels as low as 110 percent of the poverty level. Eligibility priority may be given to households with high energy burden or need.

As shown in Table IV-1, about three-quarters or more of the states set their LIHEAP income eligibility levels at or above 150 percent of the poverty level for heating, winter crisis, year-round crisis, and weatherization assistance. The percentage of states that set their LIHEAP income eligibility levels at 110 percent of the poverty level ranged from 0 percent to 5 percent,

depending on the type of assistance provided. A supplemental table showing the LIHEAP income eligibility levels as a percentage of 2015 HHSPG, by state, for each type of LIHEAP assistance, is available on the [LIHEAP Reports to Congress page of ACF’s website](#) in *Supplemental Tables: State Maximum LIHEAP Income Eligibility Standards*.

HHS’s report, *Low Income Home Energy Data Report FY 2016*, provides states with estimates of the number of households that are LIHEAP income eligible and have vulnerable members in their states to calculate their individual LIHEAP reciprocity targeting index scores. These data can help states determine the extent to which they are targeting heating assistance to vulnerable households and to decide whether improvements are needed to achieve a reciprocity targeting index score of at least 100 for vulnerable groups in their states.

Table IV-1. Percent of States Selecting Various Maximum LIHEAP Income Eligibility Standards, FY 2016

LIHEAP Income Eligibility Standards (by Percentage Intervals of 2015 HHS Poverty Guidelines)	Heating Assistance	Cooling Assistance	Winter Crisis Assistance ^a	Year- Round Crisis Assistance	Summer Crisis Assistance	Weatherization Assistance ^b
Number of states	51	19	30	21	7	48
Household income at or above 150% (percentage of states)	78%	79%	77%	90%	71%	98%
Household income between 111%– 149% (percentage of states)	18	16	23	5	29	2
Household income at 110% (percentage of states)	4	5	0	5	0	0

^a The number of states and percentages includes two states (Alaska and Massachusetts) that provided expedited heating assistance for winter crisis fuel situations through heating assistance funds only. Percentage intervals exclude other types of crisis assistance that mostly involved furnace repair or replacements.

^b Percentages do not include states which served weatherization households in FY 2016 with weatherization funds obligated but not expended in FY 2015. Percentages include the District of Columbia, which served weatherization households in FY 2017 with FY 2016 weatherization funds.

Note. Percentage distributions may not add up to 100 percent across income levels due to rounding. HHS = U.S. Department of Health and Human Services.

Source. These data are derived from *LIHEAP Performance Data Form - Grantee Survey Section for FY 2016*. The data in this table are current as of May 31, 2017.

Criteria for Targeting Benefits

Section 2605(b)(5) of the LIHEAP Act, 42 U.S.C. § 8624(b)(5), requires grant recipients to provide the highest level of assistance to households that have the lowest incomes and the highest energy costs or needs in relation to income.

The LIHEAP statute defines “highest home energy needs” as “the home energy requirements of a household determined by taking into account both the energy burden of such household and the unique situation of such household that results from having members of vulnerable populations, including very young children, individuals with disabilities, and frail older individuals.”

However, the LIHEAP statute does not define the terms “young children,” “individuals with disabilities,” and “frail older individuals.”

States use a variety of factors and methods to take into account relative income, energy costs, family size, and need for home energy in determining benefit levels. In FY 2016, the most common measures for varying heating benefits were fuel type, energy consumption or cost, household size, and income as a percentage of the poverty level. Other factors used included the presence of a “vulnerable” person (e.g., an older adult, a person with a disability, or a young child), housing type, and the amount of energy subsidy from another program. Presence of an older adult or young child in the household as a benefit determinant has become more common in response to provisions of the Human Services Amendments of 1994, which added energy “needs” as a factor in determining benefits.

States tended to use fewer variables to determine benefit amounts for crisis, cooling, and weatherization components. For example, since almost all air conditioning is powered with electricity, fuel type variations are not a factor. Similarly, the amount spent on weatherization generally is determined by the amount of work needed, up to a maximum set by the state. Generally, states are in substantial compliance with this assurance.

As part of its work under the Government Performance and Results Act of 1993, HHS has developed a series of performance indicators that are used to measure LIHEAP performance in targeting vulnerable low-income households. See Tables IV-2a and IV-2b, and the accompanying text, for ACF’s approach to LIHEAP performance measurement. The status of this work is also described in HHS’s report, *Low Income Home Energy Data Report FY 2016*.

Treatment of LIHEAP Income-Eligible Households and Owners/Renters

Section 2605(b)(8)(A) of the LIHEAP Act, 42 U.S.C. § 8624(b)(8)(A), prohibits LIHEAP grant recipients from limiting LIHEAP benefits to categorically eligible households only, thus excluding LIHEAP income-eligible households from receiving LIHEAP benefits. As reported, no grant recipients excluded, as a class, LIHEAP income-eligible households from receiving LIHEAP benefits in FY 2016.

Section 2605(b)(8)(B) of the LIHEAP Act, 42 U.S.C. § 8624(b)(8)(B), requires that owners and renters be treated equitably. States are in substantial compliance with this assurance.

In addition, Section 927 of the Housing and Community Development Act of 1992 (P.L. 102-550), as amended, 42 U.S.C. § 8624 note, prohibits LIHEAP grant recipients from excluding households living in subsidized housing who pay out of pocket for utilities and receive a utility allowance. However, it permits states to consider the tenant’s utility allowance in determining the amount of LIHEAP assistance to which they are entitled, provided that the size of any reduction in benefits is reasonably related to any utility allowance received. It does not address the issue of subsidized housing tenants whose energy costs are included in their rent.

Energy Crisis Intervention

Section 2604(c) of the LIHEAP Act, 42 U.S.C. § 8623(c), requires grant recipients to do the following with respect to providing energy crisis intervention:

- Reserve a reasonable amount of funds for energy crisis intervention until March 15 of each program year.
- Respond to energy crises within certain time limits as specified in Section 2604(c)(1) and (2) of the LIHEAP Act, 42 U.S.C. § 8623(c)(1) & (2). Grant recipients shall provide assistance to resolve an energy crisis no later than 48 hours after an eligible household applies for energy crisis benefits and no later than 18 hours if the eligible household is in a life-threatening situation.
- Accept applications for energy crisis benefits at sites that are geographically accessible to all households and provide to low-income individuals who are physically infirm the means (1) to submit applications for energy crisis benefits without leaving their residences; or (2) to travel to the sites at which such applications are accepted.

Regarding energy crisis intervention activities, Section 2605(c)(1) of the LIHEAP Act, 42 U.S.C. § 8624(c)(1), requires each grant recipient to provide the following information to HHS as part of each grant recipient's application to HHS for LIHEAP funds:

- Eligibility requirements to be used for energy crisis assistance.
- Estimated amounts that will be used for energy crisis intervention.
- Criteria for designating a crisis.
- Benefit levels to be used for assistance to be provided in such an emergency.
- Uses of any reserved funds that remain unexpended for emergencies after March 15.

Generally, states are in substantial compliance with energy crisis intervention requirements. In FY 2016, the applications indicated that:

- Grant recipients would reserve a specific amount or percentage of funds for crisis assistance until March 15, 2016. Most states set aside a percentage of the state's LIHEAP funds for a separate crisis component, which operated until March 15 or later.
- Grant recipients would designate the actual or imminent loss of home energy as emergencies. With rare exceptions, states required applicant households to document their energy crisis situation, as well as meet other eligibility criteria. A utility shut-off notice or documentation from a delivered fuel vendor that a household's fuel was or was about to be depleted are examples of such documentation. Several states handled crisis assistance situations by "fast tracking" heating and/or cooling assistance funds so that crises were resolved in a timely fashion in FY 2016.
- In a few cases, grant recipients also required other circumstances for an energy crisis or emergency, such as having made a good faith effort to pay the fuel or utility bill or having unexpected expenses during the prior month.

- Grant recipients generally would use the amount needed to alleviate the emergency, up to a set maximum, in determining the assistance to be provided in such an emergency; and grant recipients would keep emergency components open after March 15, reprogram unexpended funds reserved for crises back into other LIHEAP components, or include the funds in their carryover amount. Funds unexpended for crisis by March 15 or, if later, the close of the crisis component, were used for other components or carried over into the next federal fiscal year.

HHS Monitoring of LIHEAP Grant Recipient Programs

Audits

Section 2605(b)(10) of the LIHEAP Act, 42 U.S.C. § 8624(b)(10), requires grant recipients to assure the proper disbursement of and accounting for federal funds paid to grant recipients under the LIHEAP statute, including procedures for fiscal monitoring of the provision of LIHEAP assistance. It also requires them to comply with the provisions of the Single Audit Act, 31 U.S.C. § 7501 *et seq.*

Compliance Reviews

Sections 2608 and 2609A of the LIHEAP Act, 42 U.S.C. § 8627 & 8628a, establish several oversight and enforcement responsibilities for HHS. HHS is required to respond expeditiously to complaints that grant recipients have failed to expend funds in accordance with the LIHEAP statute. In addition, HHS is to monitor several grant recipients' use of funds each year to evaluate their programmatic and fiscal compliance with the LIHEAP statutes. Also, this section requires HHS to withhold funds from any grant recipient failing to expend its allocation substantially in accordance with the law. HHS also has a general responsibility to conduct on-site compliance reviews of LIHEAP grant recipients

Based on a prioritization selection process, HHS selected and conducted on-site LIHEAP compliance reviews at (1) 11 states (Idaho, Maine, Massachusetts, Montana, New York, North Carolina, North Dakota, Pennsylvania, Texas, Washington, and Wyoming); and (2) three tribes (Blackfoot Tribe, Three Affiliated Tribes, and Turtle Mountain Band of Chippewa Indians). HHS also conducted remote LIHEAP compliance reviews for two states (Hawaii and New Jersey).

The results showed many instances of grant recipient noteworthy practices. The most notable of these practices related to the use of electronic systems to streamline intake, eligibility determination, and benefit processing, and varied practices for conducting outreach and applicant referrals.

At the same time, there were instances of non-compliance with federal requirements. The most notable preliminary issues found in some of the programs related to the following:

- Improper accounting of vendor refunds in federal reports;
- Inadequate waste, fraud, and abuse prevention policies;

- Inadequate monitoring of subgrant recipients, vendors, and LIHEAP-funded weatherization programs;
- Administrative cost limit violations;
- Lack of distinction in grant recipient policies between types of home energy crises;
- Inadequate data capture and supporting documentation in case files and systems;
- Inadequate public participation practices;
- Lack of definitions and policies for “obligation” and “expenditure” of LIHEAP funds;
- Failure to adhere to the annual plan;
- Improper administration of Assurance 16 projects;
- Improper tracking and reporting of federal LIHEAP funds;
- Inadequate opportunity for and timeframes attached to fair hearings; and
- Lack of written policies.

Once a compliance review is complete, HHS provides technical assistance to grant recipients for development of plans to correct these issues.

HHS uses the site visits as an opportunity to provide on-site technical assistance regarding areas of non-compliance and to share examples of approaches taken by other grant recipients. HHS also provides intensive technical assistance to LIHEAP grant recipients throughout the year, through in-depth training workshops and on an individual basis remotely and by follow-up technical assistance visits. This technical assistance process is a valuable tool to address potential compliance issues, often while proposals are in the development stage, to identify potential problems early on and work in partnership for continuous improvement. Furthermore, HHS works with stakeholder associations, state directors, and various HHS-sponsored work groups to resolve issues that were identified in the monitoring process.

Program Integrity

HHS has zero tolerance for waste, fraud, and abuse. Cases of suspected LIHEAP fraud are either turned over to the HHS Inspector General or initiate an on-site compliance review of the grant recipient’s LIHEAP by the DEA. HHS has taken major steps to work with LIHEAP grant recipients to prevent waste, fraud, and abuse and to ensure LIHEAP integrity.

On April 13, 2012, the LIHEAP Program Integrity working group reported its findings, recommendations, and next steps in a report titled *LIHEAP Program Integrity Working Group Final Report*.

In FY 2015, HHS received, via memo from the National Energy Assistance Directors’ Association, a cost-benefit analysis and recommendations regarding the possible implementation of certain third-party electronic application data verification measures. Such recommendations consisted of the following, to help:

- State grant recipients access third-party data:
 - Provide grant recipients with clear guidance regarding acceptable third-party verification practices;
 - Assist grant recipients with streamlining and facilitating data exchange

- agreements;
- Provide grant recipients with ready-made tools;
- Assure that grant recipients receive regularly updated resources and promising practices; and
- Help grant recipients leverage current vendor negotiations for performance measure data;
- State grant recipients use third-party verification data to increase program integrity:
 - Provide clarity for grant recipients regarding allowable administrative and program IT costs;
 - Set minimum national standards for program integrity and target resources appropriately;
 - Mitigate grant recipient staffing and capacity challenges related to IT development;
 - Customize training resources and tools based on current grant recipient capacity; and
 - Leverage current system update efforts related to LIHEAP Performance Measurement and the Affordable Care Act.
- State grant recipients integrate third-party data into existing systems and processes:
 - Increase LIHEAP access to federal/state agency data;
 - Provide grant recipients with innovation or demonstration incentives; and
 - Extract learning from highest maturity states; and
- Tribal grant recipients generally work with third-party data:
 - Develop model system business requirements for tribal LIHEAP grant recipients, and provide guidance on how to use the data they collect;
 - Identify and provide training on how tribes can share information among tribally administered public assistance programs, and engage a trusted tribal expert to assist with data exchange implementation; and,
 - Help identify, develop, and disseminate model agreements for states, tribes, and the federal government to use in negotiating memoranda of understanding and contracts, and provide trainings that break down the model agreements into their component parts.

HHS has been analyzing the information provided by the Program Integrity working group and the contractor to determine the feasibility of further investments in this area. HHS has made progress in building state LIHEAP capacity towards data exchanges more broadly, particularly in the performance management field as noted in the next section of this report.

Performance Measurement

This section describes ACF's approach to LIHEAP performance measurement. Included are LIHEAP's current performance goals, statistics on LIHEAP's historic performance measures, and background information and initial baseline results for four new developmental performance measures that were reported for FY 2016.

Performance Goals

HHS has focused its annual LIHEAP performance goals on targeting the availability of LIHEAP heating assistance to vulnerable low-income households.

HHS's current annual LIHEAP performance objectives are to:

- Maintain the reciprocity targeting index score of LIHEAP households having at least one member who is 60 years old or older.
- Maintain the reciprocity targeting index score of LIHEAP households having at least one member who is 5 years old or younger.

As described below, beginning in FY 2016, HHS required state grant recipients and the District of Columbia ("state grant recipients") to collect and report data for four new developmental performance measures designed to measure LIHEAP impacts. For FY 2016, ACF did not define annual targets for the four new performance measures as they were considered developmental. Two of the developmental measures estimate the extent to which LIHEAP targets benefits to households with the highest energy costs in relation to household income (as required in Section 2605 (b)(5) of the LIHEAP statute); one measure focuses on the number of occurrences where LIHEAP restored home energy service; and one measure focuses on the number of occurrences where LIHEAP prevented the loss of home energy service. These measures will help HHS and state grant recipients to understand impacts of the program and to evaluate potential additional performance goals in the future.

Historic Performance Measures

Reciprocity Targeting Indices

ACF has developed reciprocity targeting indices as LIHEAP performance measures. HHS uses reciprocity targeting indices for households with an older adult member and households with a young child. These indices are used to track how well LIHEAP heating assistance is targeted to these two groups of vulnerable households. The index values range from zero to infinity. On average, an index value less than 100, or greater than 100 determines whether the target group is ineffectively targeted, or effectively targeted, respectively, in relation to that target group's representation in the total LIHEAP income-eligible population.

These measures are based on two data sources: (1) the CPS ASEC, and (2) states' LIHEAP Household Reports. See *Appendix A* on the [LIHEAP Reports to Congress page of ACF's website](#) for more information on these data sources.

Performance Measurement Data

Tables IV-2a and IV-2b show the LIHEAP reciprocity targeting performance measures from FY 2003 through FY 2016. The first column shows the fiscal year. The second column shows the performance targets to be reached and the third column shows the targeting index scores that were achieved. In FY 2003, LIHEAP began collecting data on these two measures and set baseline targets (to be reached). A baseline is a benchmark used as a basis for comparison.

For measure 1A, LIHEAP consistently has not targeted benefits to LIHEAP income-eligible older adult households—insofar as LIHEAP beneficiary households with an older adult do not make up a greater percentage of LIHEAP beneficiary households than such households make up of LIHEAP income-eligible households. The FY 2004 through FY 2011 targeting index scores fluctuated between 74 and 79. In FY 2012, the targeting index score for older adult households increased to 83, exceeding both the fiscal year target and the baseline targeting index score. In FY 2013, the targeting index score for older adult households increased to 84, before decreasing to 80 in FY 2014. In FY 2015, the targeting index score for older adult households increased to 81. In FY 2016, the targeting index score for older adult households increased to 86, exceeding both the baseline targeting index score of 79 and the fiscal year target score of 81.

For measure 1B, LIHEAP consistently has targeted benefits to income-eligible households with a young child—insofar as LIHEAP beneficiary households with a young child do make up a greater percentage of LIHEAP beneficiary households than such households make up of LIHEAP income-eligible households. The FY 2004 through FY 2008 targeting index scores showed a decrease in targeting households with young children. However, in FY 2011, the targeting index increased to 122, but in FY 2012, it decreased to 114. In FY 2013, the targeting index score for households with a young child increased to 117, before decreasing to 112 in FY 2014. In FY 2015, the targeting index score for households with a young child decreased to 107. In FY 2016, the targeting index score for households with a young child increased to 108, exceeding the fiscal year target score of 107 but falling short of the baseline targeting index score of 122.

Table IV-2a. LIHEAP Reciprocity Targeting Performance Measure 1A: Increase the Reciprocity Targeting Index Score of LIHEAP Households Having at Least One Member 60 Years Old or Older (Reported for FY 2003–FY 2016)*

Fiscal Year	Target	Result
FY 16	81	86
FY 15	80	81
FY 14	84	80
FY 13	85	84
FY 12	80	83
FY 11	75	78
FY 10	78	74
FY 09	96	76
FY 08	96	76
FY 07	94	78
FY 06	92	77
FY 05	84	79

Fiscal Year	Target	Result
FY 04	82	78
FY 03	Baseline	79

*The state-reported data that enter into the calculation of these indices are current as of May 31, 2017.

Table IV-2b. LIHEAP Reciprocity Targeting Performance Measure 1B: Increase the Reciprocity Targeting Index Score of LIHEAP Households Having at Least One Member 5 Years Old or Younger (Reported for FY 2003–FY 2016)*

Fiscal Year	Target	Result
FY 16	107	108
FY 15	112	107
FY 14	117	112
FY 13	116	117
FY 12	124	114
FY 11	110	122
FY 10	110	118
FY 09	122	117
FY 08	122	110
FY 07	122	110
FY 06	122	112
FY 05	122	113
FY 04	122	115
FY 03	Baseline	122

*The state-reported data that enter into the calculation of these indices are current as of May 31, 2017.

Developmental Performance Measures

Energy Targeting Indices and Home Energy Restoration and Prevention of Loss

The reciprocity-targeting indices described above are indicators that ACF uses to measure the extent that two vulnerable populations are served by LIHEAP. However, these historic performance measures do not show the impact of LIHEAP assistance on targeting benefits to households with the highest energy costs in relation to household income (as required in Section 2605 (b)(5) of the LIHEAP statute) or addressing home energy crises (as required in Section 2604(c) of the LIHEAP statute).

Since 1994, HHS has worked with grant recipients to evaluate and develop outcome-based performance measures for LIHEAP program impacts. In June 2008, HHS established the LIHEAP Performance Measures Planning Work Group, consisting of state LIHEAP directors and HHS staff. The Work Group developed a logic model which identifies the long-term goal of LIHEAP as providing LIHEAP recipients with continuous, safe, and affordable home energy service.

In April 2010, HHS established a follow-up group, the LIHEAP Performance Measures Implementation Work Group (PMIWG), consisting of state LIHEAP directors and HHS staff. From April 2010 to June 2014, HHS worked with the PMIWG to evaluate potential outcome-focused measures and assess grant recipient reporting capabilities. As a result of these ongoing activities, the PMIWG recommended that ACF require several new performance measures to be reported by all LIHEAP state grant recipients in order to obtain annual state-specific data that were not available from other sources. Acting on this recommendation, in June 2014, HHS submitted a request to the Office of Management and Budget (OMB) to collect data from state grant recipients for four new developmental LIHEAP performance measures related to home energy burden and the continuity of home energy service. In November of 2014, HHS received approval from OMB to begin collecting data for these measures (Clearance No. 0970-0449).

The four new developmental performance measures are as follows:

1. **Measure #1: Benefit-targeting index.** The benefit-targeting index for high-burden households receiving LIHEAP fuel assistance quantifies LIHEAP's benefit-targeting performance. It is computed by dividing the mean (average) LIHEAP benefit for high-energy burden recipients (defined as the top 25% of households with the highest energy burdens) by the mean LIHEAP benefit for all recipient households and then multiplying the result by 100. For example, if high-burden household recipients have a mean benefit of \$250 and the mean benefit for all households is \$200, the benefit targeting index is 125 (100 times \$250 divided by \$200).
2. **Measure #2: Burden reduction–targeting.** The burden reduction–targeting index for high-burden households receiving LIHEAP fuel assistance quantifies LIHEAP's burden reduction–targeting performance. It is computed by dividing the percent reduction in the mean energy burden due to LIHEAP for high-energy-burden recipients (defined as the top 25% of households with the highest energy burdens) by the percent reduction in the mean energy burden due to LIHEAP for all recipients and then multiplying the result by 100. For example, if high-burden recipients have their mean energy burden reduced by 25 percent (e.g., from 8 percent of income to 6 percent of income) and all recipient households have their mean energy burden reduced by 20 percent (e.g., from 5 percent of income to 4 percent of income), the burden reduction–targeting index is 125 (100 times 25 divided by 20).
3. **Measure #3: The number of occurrences where LIHEAP benefits restored home energy services.** This measure includes the number of occurrences where energy service was restored after disconnection, where fuel was delivered after the household ran out of fuel, and where inoperable home energy equipment was repaired or replaced.
4. **Measure #4: The number of occurrences where LIHEAP prevented the loss of home energy services.** This measure includes the number of occurrences where a household

was at imminent risk of having service terminated at the time of application and receipt of LIHEAP benefits, where assistance was provided to a household at imminent risk of running out of fuel, and where operable home energy equipment at imminent risk was repaired or replaced.

As state grant recipients worked to develop and implement new data-collection and reporting systems to report the performance data, HHS made reporting of the new performance measures data as optional for FY 2015 reporting and mandatory beginning with FY 2016 reporting. In late 2014 and early FY 2015, HHS provided initial technical assistance to help state grant recipients to collect the required data via client applications, energy vendor agreements, and partnerships with subgrant recipients and partner agencies. In 2016, HHS furnished additional technical assistance to state grant recipients, including assistance with calculating statistics and processing data. For FY 2016 reporting, state grant recipients varied in their capacity to successfully report all required data elements, and ACF did not define annual targets for the four new performance measures. HHS views these new performance data as developmental while state grant recipients continue to build the capacity to successfully collect and report complete and accurate data.

The PMIWG will be active at least through September 2018. During the period from October 2015 through September 2016, the PMIWG met by teleconference 10 times per year and in-person twice each year. Three subcommittees of the PMIWG were tasked with working on various aspects of performance management. These aspects included communication, system development, and T&TA.

Performance Measurement Data

All state grant recipients and the District of Columbia were required to report the new performance measures data beginning with FY 2016 reporting. However, grant recipients faced a variety of challenges with successfully reporting these data, including the following:

- ***Data system limitations.*** Most states needed to update their data systems to collect and report the required data. Several states had difficulty completing data system updates prior to FY 2016 reporting due to unexpected delays, staffing issues, or budgetary constraints.
- ***Data privacy constraints.*** To collect the required data, states needed to obtain client approval to share information with energy vendors and partner agencies via a client waiver and data-sharing agreements. A small number of states faced challenges in developing client waivers and data-sharing agreements prior to FY 2016 reporting.
- ***Limited energy vendor cooperation.*** A small number of states experienced difficulty in obtaining data from targeted energy vendors that serve a large portion of LIHEAP clients.
- ***Data-calculation and reporting issues.*** Since this data-collection effort was new, several states experienced unexpected problems with calculating specific statistics and reporting the correct results.

As a result of these challenges, the quality and completeness of data reported by state grant recipients varied. To facilitate analysis of the data and account for variations in data quality, HHS conducted a comprehensive review of data submitted by states for each of the four

developmental performance measures, assigning states to one of four data quality categories for each of the four new measures. The data quality categories are as follows:¹⁰

- **High reliability.** The review of the submitted data identified no data quality concerns. All data items were correctly reported, and data represented a reasonable sample of total households and households for specific subgroups of interest.
- **Moderate reliability.** The review of the submitted data identified minor data quality concerns. All data items were correctly reported, but data for some specific subgroups of interest were not collected and reported or were based a small sample of households.
- **Low reliability.** The review of the submitted data identified substantial data quality concerns. A portion of the data items were incomplete or based on a small total sample of households.
- **Insufficient data for reporting.** No data was submitted or the submitted data was determined to be unusable.

Specific criteria were developed to classify each state's data into the appropriate data quality category. For example, for measure #1 (benefit targeting index) and measure #2 (burden reduction targeting index), the following criteria were used:

- High reliability:
 - The data included complete information for at least 10 percent of households that received LIHEAP bill-payment assistance. This was determined to be a reasonable sample size.
 - The data included complete information for at least 5 percent of households that were electric main heaters, 5 percent of households that were gas main heaters, and 5 percent of households with the most common deliverable fuel type in the state. These criteria were used to determine if data for the major fuel types were sufficiently represented.
 - The data included annual electric expenditure data for non-electric main heaters.
 - High-burden households were correctly identified in the data according to the instructions.
- Moderate reliability:
 - The criteria were the same as for high-reliability, except that the data included information for less than 5 percent of households with the most common deliverable fuel type in the state.
 - The data included annual electric expenditure data for non-electric main heat households.
 - High-burden households were correctly identified in the data according to the instructions.

¹⁰ The specific criteria for each data quality category vary by performance measure.

- Low reliability:
 - The data did not meet at least one of the criteria for moderate reliability.
- Insufficient data for reporting:
 - The data included information for less than 1 percent of households that received LIHEAP bill-payment assistance or the data were missing information needed for accurate calculations.

Table IV-3 presents the number of states in each data quality category by performance measure.

Table IV-3. Developmental Performance Measures: Summary of States' Data Quality by Performance Measure, FY 2016*

Data Quality Category	Developmental Performance Measure #1: Benefit Targeting Index	Developmental Performance Measure #2: Burden Reduction Targeting Index	Developmental Performance Measure #3: Number of Occurrences Where LIHEAP Restored Home Energy Service	Developmental Performance Measure #4: Number of Occurrences Where LIHEAP Prevented the Loss of Home Energy Service
High reliability	22 states	22 states	20 states	33 states
Moderate reliability	6 states	6 states	17 states	4 states
Low reliability	12 states	12 states	7 states	7 states
Insufficient data	11 states	11 states	7 states	7 states
TOTAL	51 states	51 states	51 states	51 states

*The data in this table are current as of December 1, 2017.

Tables IV-4 to IV-7 provide aggregate results for the developmental performance measures based on different data quality groups. These estimates are presented to demonstrate outcomes for states with only high-reliability data, for states with moderate or high-reliability data, and all states with sufficient data for analysis.

Table IV-4. Developmental Performance Measure #1: Benefit Targeting Index: Results by Data Quality Group, FY 2016^a

Data Quality Group	Number of States	Weighted Average Index Score^b
High reliability	22	117
High and moderate reliability	28	124
High, moderate, and low reliability	40	117

^a The data in this table are current as of December 1, 2017.

^b To account for different sizes in the LIHEAP population by state, a weighted average based on each state's number of bill-payment-assisted households was used to calculate the weighted average index score.

Table IV-5. Developmental Performance Measure #2: Burden Reduction Targeting Index: Results by Data Quality Group, FY 2016^a

Data Quality Group	Number of States	Weighted Average Index Score^b
High reliability	22	88
High and moderate reliability	28	101
High, moderate, and low reliability	40	97

^a The data in this table are current as of December 1, 2017.

^b To account for different sizes in the LIHEAP population by state, a weighted average based on each state's number of bill-payment assisted households was used to calculate the weighted average index score.

Table IV-6. Developmental Performance Measure #3: Occurrences Where LIHEAP Benefits Restored Home Energy Services: Results by Data Quality Group, FY 2016^a

Data Quality Group	Number of States	Total Number of Occurrences
High Reliability	20	208,185
High and Moderate Reliability	37	254,438
High, Moderate, and Low Reliability	44	311,936

^a The data in this table are current as of December 1, 2017.

Table IV-7. Developmental Performance Measure #4: Occurrences Where LIHEAP Benefits Prevented the Loss of Home Energy Services: Results by Data Quality Group, FY 2016^a

Data Quality Group	Number of States	Total Number of Occurrences
High reliability	33	1,109,883
High and moderate reliability	37	1,114,949
High, moderate, and low reliability	44	1,371,109

^a The data in this table are current as of December 1, 2017.

LIHEAP Reference Guide

This section serves as a guide to the following information: LIHEAP information memoranda and LIHEAP action transmittals issued by the DEA in FY 2016 and FY 2016 T&TA activities.

FY 2016 LIHEAP Information Memoranda

The following federal LIHEAP information memoranda were distributed to LIHEAP grant recipients in FY 2016. As presented here, the subject of each memorandum is that which was published under the “Subject” heading of that document.

Memorandum No.	Date	Subject
IM-2016-01	2/24/16	LIHEAP Compliance Review Monitoring Schedule: FY 2016
IM-2016-02	7/1/16	HHS Poverty Guidelines for Optional Use in FFY 2016 LIHEAP and Mandatory Use in FFY 2017 LIHEAP
IM-2016-03	7/5/16	State Median Income Estimates for Optional Use in FFY 2016 LIHEAP and Mandatory Use in FFY 2017 LIHEAP

FY 2016 LIHEAP Action Transmittals

The following federal LIHEAP action transmittals were distributed to LIHEAP grant recipients in FY 2016. As presented here, the subject of each transmittal is that which was published under the “Subject” heading of that document.

Transmittal No.	Date	Subject
AT-2016-01	11/10/15	FY 2015 Carryover and Reallotment Report
AT-2016-02	11/30/15	LIHEAP Household Report Short Form and Long Form for FY 2015
AT-2016-03	1/4/16	LIHEAP Performance Data Form for FY 2015
AT-2016-04	4/5/16	LIHEAP Performance Data Form for FY 2015 (<i>Revised Instructions</i>)
AT-2016-05	4/5/16	Revised Reporting Instructions for the LIHEAP Household Report (<i>for FY 2015</i>)
AT-2016-06	7/1/16	Model Plan Application for LIHEAP Funding for FY 2017

Training and Technical Assistance Projects for FY 2016

Section 2609A of the LIHEAP Act, 42 U.S.C. § 8628a, authorizes HHS to set aside up to \$300,000 each year for T&TA projects that may be awarded through grants, contracts, or jointly financed cooperative agreements with states, public agencies, and private nonprofit organizations. LIHEAP's FY 2016 appropriation increased this amount to \$2,988,000 and allowed HHS to award such projects to for-profit organizations. HHS obligated all but \$340.36 of these funds for the following activities:

- **Ongoing technical support resources for grant recipients:** For exercising an option year to the National Center for Appropriate Technology to continue operation of the LIHEAP Clearinghouse: \$353,454.47.
- **Training and new technical assistance for grant recipients:** For (1) awarding follow-on contracts to Brilljent, LLC, and to Capitol Consulting Group for training logistics and content development, and (2) awarding new contracts to Three Star and NEADA for tribal and state technical assistance: \$603,461.12.
- **Technical support for OCS:** For awarding a new contract and continuing a previous contract to APPRISE Incorporated to provide data updates, report writing, as-needed technical assistance, performance management, data reporting, and other technical support for LIHEAP's federal administrative office (OCS): \$683,266.54.
- **Monitoring of grant recipients:** For exercising an option year to ICF Incorporated, LLC, to prioritize and take part in monitoring of grant recipients: \$814,664.38.
- **IT and general support:** For entering into interagency agreements that provide OCS with information technology support and general consulting support: \$339,121.00.
- **Official travel:** For sending HHS staff to (1) on-site compliance reviews in 11 states and 3 tribes, (2) attend LIHEAP-related conferences, (3) present at HHS-sponsored conferences, and (4) other activities: \$118,934.13.
- **Training and Miscellaneous Office Expenses:** For (1) conference attendance fees, (2) document copying, (3) staff training, and (4) office supplies: \$74,758.00.

The remaining \$340.36 in funds automatically reverts to the Treasury after the 5-year expenditure period for such funds expires.