

# **OCS Reports: *What Are They and Why Are They Important?***

**2019 National LIHEAP Grantee Training Conference**

**April 30, 2019**

Holly Ravesloot, Office of Community Services  
Heather Jones, Missouri Department of Social Services  
Melissa Torgerson, Verve Associates LLC



ADMINISTRATION FOR  
**CHILDREN & FAMILIES**

# OCS Reports: *What Are They and Why Are They Important?*



# Welcome

Reports are necessary to maintain accountability for federal LIHEAP funding. However, OCS also uses data submitted by grantees:

## **To communicate about the national LIHEAP program:**

- In addition to putting together the annual LIHEAP Report to Congress, OCS uses data collected by grantees to respond to questions from Congress and the administration regarding LIHEAP.

## **To aid in program management:**

- Data collected from grantees provide OCS liaisons an opportunity to reach out to states, tribes, and territories and problem solve specific issues or identify promising practices related to LIHEAP.
- Particular patterns in grantee LIHEAP data may highlight areas where states, tribes, or territories could benefit from additional training and/or technical assistance.

# Welcome

<b>FY 2019 REPORTS</b>	<b>Due Date</b>
LIHEAP Model Plan	Sept 1, 2018
LIHEAP Carryover & Re-allotment Report	Aug 1, 2019 (prelim) Dec 15, 2019 (final)
LIHEAP Household Report	Sept 1, 2019 (prelim) Dec 15, 2019 (final)
SF 425 (Federal Financial Report)	Dec 31, 2019
LIHEAP Performance Data Form Part I (Grantee Survey)	Jan 31, 2020
LIHEAP Performance Data Form Part II (Perf. Measures)	Jan 31, 2020

There are a set of LIHEAP reports that grantees must submit for each federal fiscal year.

- *Note: not all grantees are required to submit all reports. For example, tribes and territories are required to submit less data than their state counterparts.*
- *All reports have received OMB clearance, and FY 2019 due dates noted in this slide are accurate.*

# *Session Objectives*

## **The objectives of this training session are to:**

- Furnish a detailed **reporting roadmap** for grantees, including which reports are required and when they are due.
- Provide grantees with a better understanding of the **purpose** behind each report, and how they be used for program management and communication.
- Help grantees to identify the **linkages** between OCS reports, and how these linkages provide an overarching set of information for OCS and program managers.
- Acknowledge that some reports are challenging, but that there is support available from OCS and contractors.

# Session Overview

There is a set of OCS reports associated with each federal fiscal year of LIHEAP.

- Individually, each OCS report allows grantees to demonstrate, evaluate, and communicate particular aspects of their LIHEAP program.
- Together, all of these reports tell a comprehensive story of LIHEAP in the state, tribe, or territory during the reporting period.

For the purpose of this training session, we are going to focus reports related to FY 2019.

# *Session Overview*

## **The Nuts and Bolts**

- ✓ Who must complete each report?
- ✓ What is the purpose of the report?
- ✓ When is the report due?
- ✓ How does the report contribute to program management?
- ✓ What are the major challenges grantees face in completing the report?

## **The Grantee Perspective**

- ✓ How each report is used to improve program management
- ✓ Key challenges, lessons learned with each report

**How does each report link with other OCS reports to tell a story?**

## **Additional Resources**

## **Questions**

# FY 2018 Carryover and Re-allotment Report

## Who was required to complete this report?

- All LIHEAP Grantees (States, Tribes, and Territories)

## What was the purpose of this report?

- **Carryover:**  
*What unobligated FY 2018 funds will we carry over to obligate in FY 2019?*
- **Re-allotment:**  
*What unobligated FY 2018 funds will we return to the government?*

## When was this report due?

- ✓ Initial report due August 1, 2018  
*(prior to the end of FY 2018)*
- ✓ Revisions should have been submitted into OLDC by December 15, 2018

Aug 1, 2018	Initial FY 2018 Carryover & Re-allotment Report Due	
<b>Oct 1, 2018—FFY 2019 BEGINS</b>		
Dec 15, 2018	FY 2018 Carryover & Re-allotment Revisions Due	
<b>Sept 30, 2019—FFY 2019 ENDS</b>		

# FY 2018 Carryover and Re-allotment Report

## How does this report contribute to program management?

- Reminds grantees to obligate 90% of funds in year of award
- Alert OCS if there will be funds available for re-allotment
- Gives the OCS the opportunity to advise the grantee

## Common challenges with the Carryover and Re-allotment report?

- **Defining obligations versus expenditures**

*The carryover and re-allotment report requires grantees to report on unobligated (not unspent funds).*

- **Vendor refunds (timing)**

*Any LIHEAP funds returned from vendors are considered “unobligated” (regardless of where they are returned).*

# FY 2018 Carryover and Re-allotment Report

## *The Grantee Perspective*

### How does the Carryover and Re-allotment report contribute to program management in Missouri?

The Carryover and Re-allotment report is a chance to confirm that 90% of the funds awarded during the FFY have been obligated.

- ✓ *For example, if FY 2018 LIHEAP funding needed to be shifted between subgrantees due to local spending or administration problems, the timing of this report would have reminded us to de and re-obligate funds before the end of September.*

# FY 2018 Carryover and Re-allotment Report

## *The Grantee Perspective*

### Challenges, Strategies for completing the Carryover and Re-Allotment Report:

- **Timing.** The carryover and re-allotment report is due on August 1<sup>st</sup> of each year, a common vacation time.
- **Coordination, Prioritization.** Many of the fiscal staff needed to help with this report are responsible for multiple grants, so coordination is needed to assure timely submission.
- **Vendor Refunds.** The LIHEAP program in Missouri is year-round, therefore, it is critical that we obtain timely refunds from the vendors in order to revise the carryover and re-allotment figures by the December 15 revision deadline.

# FY 2018 Carryover and Re-allotment Report

**How does this report link with other OCS reports to tell a story of my FY 2019 LIHEAP Program?**

What unobligated  
FY 2018 funds am I  
carrying into FY 2019?

**FY 2018 Carryover and  
Re-allotment Report**

# FY 2018 Carryover and Re-allotment Report

Questions?

# FY 2019 LIHEAP Model Plan

## Who was required to complete this report?

- All LIHEAP Grantees (States, Tribes, and Territories)

## What was the purpose of this report?

- *Serves as the grantee's application for funds*
- *Provides information to the federal government, as well as the public, regarding how the grantee plans to administer LIHEAP funding.*

## When was the Model Plan due?

- The FY 2019 LIHEAP Model Plan was due on September 1, 2018.

Aug 1, 2018	Initial FY 2018 Carryover & Re-allotment Report Due
Sept 1, 2018	FY 2019 Model Plan Due 
<b>Oct 1, 2018—FFY 2019 BEGINS</b>	
Dec 15, 2018	FY 2018 Carryover & Re-allotment Revisions Due
<b>Sept 30, 2019—FFY 2019 ENDS</b>	

# FY 2019 LIHEAP Model Plan

## How does the LIHEAP Model Plan contribute to program management?

- The Model Plan is a “master blueprint” for the grantee’s LIHEAP program.
- OCS reviews Model Plans to assure that the grantee’s administration of LIHEAP is consistent with the statute and other guidance.
- OCS, Grantees, contractors and other stakeholders use model plans to better understand the different ways that grantees approach LIHEAP program design and implementation.

## Common challenges with the Model Plan?

- ✓ **Timing**—*Grantees must allow enough room for timely and meaningful public participation, as well as delegation/certification processes!*
- ✓ **Timely and Meaningful Public Participation**—*Some grantees face challenges in adequately engaging the public for Model Plan review and comment.*

## How does the LIHEAP Model Plan contribute to program management in Missouri?

The Model Plan serves as the foundation for Missouri's LIHEAP program. Everything we do is rooted in the model plan—including:

- Policies and Procedures Manuals
- Program Documentation (e.g., applications, outreach materials)
- Monitoring Tools

## Challenges and Strategies associated with completing the Model Plan:

- **Timing, Coordination**—Missouri “pre-certification” example
  - ✓ Working with stakeholders to develop, consider changes to the model plan
  - ✓ Running any potential changes through leadership or advisory chains
  - ✓ Timely, public participation in terms of Model Plan review and comment
  - ✓ Responding to public comment, questions (potential plan revisions!)
  - ✓ Delegation and Certification Processes
- **Public Participation**—Are we doing enough or the right kind of outreach to get timely, meaningful public participation?

# FY 2019 LIHEAP Model Plan

**How does this report link with other OCS reports to tell a story of my FY 2019 LIHEAP Program?**

What unobligated  
FY 2018 funds am I  
carrying into FY 2019?

**FY 2018 Carryover and  
Re-allotment Report**

How will I administer FY  
2019 LIHEAP in my state,  
tribe, or territory?

**FY 2019  
LIHEAP Model Plan**

# FY 2019 LIHEAP Model Plan

Questions?

# FY 2019 Carryover and Re-allotment Report

## Who is required to complete this report?

- All LIHEAP Grantees (States, Tribes, and Territories)

## What is the purpose of this report?

- *What unobligated FY 2019 funds will we carry over to obligate in FY 2020?*
- *What unobligated FY 2019 funds will we return to the government?*

## When is the report due?

- ✓ Initial report due August 1, 2019  
*(prior to the end of FY 2019)*
- ✓ Revisions must be submitted into OLDC by December 15, 2020

Note: Between Dec 15, 2018 and Aug 1, 2019—grantees are running their FY 2019 programs, and submitting reports for previous year (FY18)!

Aug 1, 2018	Initial FY 2018 Carryover & Re-allotment Report Due
Sept 1, 2018	FY 2019 Model Plan Due
<b>Oct 1, 2018—FFY 2019 BEGINS</b>	
Dec 15, 2018	FY 2018 Carryover & Re-allotment Revisions Due
Aug 1, 2019	<b>Initial FY 2019 Carryover &amp; Re-allotment Report Due</b> 
<b>Sept 30, 2019—FFY 2019 ENDS</b>	
Dec 15, 2019	<b>FY 2019 Carryover &amp; Re-allotment Revisions Due</b> 

# FY 2019 Carryover and Re-Allotment Report

**How does this report link with other OCS reports to tell a story of my FY 2019 LIHEAP Program?**

What unobligated  
FY 2018 funds am I  
carrying into FY 2019?

**FY 2018 Carryover and  
Re-allotment Report**

How will I administer FY  
2019 LIHEAP in my state,  
tribe or territory?

**FY 2019  
LIHEAP Model Plan**

What unobligated  
FY 2019 funds am I  
carrying in to FY 2020?

**FY 2019 Carryover and  
Re-allotment Report**

# FY 2019 LIHEAP Household Report

## Who is required to complete this report?

- *Household Report Long Form*: States and Territories
- *Household Report Short Form*: Direct-grant Indian Tribes/Tribal Organizations

## What is the purpose of this report?

- Collects the number of recipient households:
  - ✓ Receiving each type of assistance
  - ✓ Receiving any type of assistance (*long form*)
  - ✓ At each poverty interval (*long form*)
  - ✓ Containing a vulnerable member (*long form*)
- Collects data on applicant households (*long form*)
- **When is the report due?**
  - ✓ Initial report due Sept 1, 2019
  - ✓ Final report due December 15, 2019

Aug 1, 2018	Initial FY 2018 Carryover & Re-allotment Report Due
Sept 1, 2018	FY 2019 Model Plan Due
<b>Oct 1, 2018—FFY 2019 BEGINS</b>	
Dec 15, 2018	FY 2018 Carryover & Re-allotment Revisions Due
Aug 1, 2019	Initial FY 2019 Carryover & Re-allotment Report Due
Sept 1, 2019	<b>Initial FY 2019 LIHEAP Household Report Due</b> 
<b>Sept 30, 2019—FFY 2019 ENDS</b>	
Dec 15, 2019	FY 2019 Carryover & Re-allotment Revisions Due
Dec 15, 2019	<b>Final FY 2020 LIHEAP Household Report Due</b> 

# FY 2019 LIHEAP Household Report

## How does the Household Report contribute to program management?

- The Household Report allows *OCS* and the *Grantee* to understand what types of households were assisted (e.g., vulnerable status, poverty interval). These data are helpful for understanding where more outreach may be needed, or whether specific outreach efforts were effective.
- The Household Report allows *OCS* and the *Grantee* to understand what share of the households in need were served.

## Common challenges with the Household Report?

- ✓ **Coordination.** Both the long and short-form Household Report require grantees to work with program partners and/or subgrantees to obtain household data for different program components (e.g., weatherization).
- ✓ **Consistency.** The Household Report should align with other LIHEAP reports. For example, if the FY 2019 Model Plan indicated the grantee would implement a cooling program, then the FY 2019 Household Report should include households that received cooling assistance.

# FY 2019 LIHEAP Household Report

## *The Grantee Perspective*

### How does the Household Report contribute to program management in Missouri?

- **Using data to communicate with stakeholders.** Leaders in MO (including legislators) always want to know whether there was a decrease or increase in the total assisted households each year.
- **Exploring trends over time.** If we look at changes in the number of vulnerable households being assisted over time, we can determine where more or different outreach might be needed. (Example: PMIWG Young Child Case Study).
- **Comparing assisted versus applicant households.** This spurs conversation about why people are ineligible. For example, if we turn more and more people away at higher poverty intervals, should we be re-evaluating our income eligibility thresholds?

# FY 2019 LIHEAP Household Report

## *The Grantee Perspective*

### Challenges and strategies associated with completing the Household Report:

- **Data collection.** Missouri must coordinate with subgrantees in order to collect crisis and weatherization data.
- **Timing.** In order to compile submissions from subgrantees, un-duplicate the data, and submit the report--our IT staff must have data from all sources well in advance of the report due date.

# FY 2019 LIHEAP Household Report

## How does this report link with other OCS reports to tell a story of my FY 2019 LIHEAP Program?

What unobligated FY 2018 funds am I carrying into FY 2019?

**FY 2018 Carryover and Re-allotment Report**

How will I administer FY 2019 LIHEAP in my state, tribe or territory?

**FY 2019 LIHEAP Model Plan**

Who applied for and received LIHEAP in FY 2019?

**FY 2019 LIHEAP Household Report**

What unobligated FY 2019 funds am I carrying in to FY 2020?

**FY 2019 Carryover and Re-allotment Report**

# FY 2019 LIHEAP Household Report

Questions?

# FY 2019 LIHEAP Performance Data Form: Grantee Survey

## Who is required to complete this report?

- *States and the District of Columbia*

## What is the purpose of this report?

- Collects information on the sources of funds available for FY 2019.
- Reports information on how FY 2019 funds were obligated.
- Furnishes information on eligibility thresholds and average benefits.

## When is the report due?

- Part I of the FY 2019 Performance Data Form (Grantee Survey) is due on Jan 31, 2020.

Aug 1, 2018	Initial FY 2018 Carryover & Re-allotment Report Due
Sept 1, 2018	FY 2019 Model Plan Due
<b>Oct 1, 2018—FFY 2019 BEGINS</b>	
Dec 15, 2018	FY 2018 Carryover & Re-allotment Revisions Due
Aug 1, 2019	Initial FY 2019 Carryover & Re-allotment Report Due
Sept 1, 2019	Initial FY 2019 LIHEAP Household Report Due
<b>Sept 30, 2019—FFY 2019 ENDS</b>	
Dec 15, 2019	FY 2019 Carryover & Re-allotment Revisions Due
Dec 15, 2019	Final FY 2019 LIHEAP Household Report Due
<b>Jan 31, 2020</b>	<b>FY 2019 LIHEAP Performance Data Form Part I (Grantee Survey) Due</b>



# FY 2019 LIHEAP Performance Data Form: Grantee Survey

## How does the Grantee survey contribute to program management?

- **Fiscal Integrity.** The Grantee Survey requires each grantee to accurately account for 1) where LIHEAP funds come from and 2) how they are obligated.
- **Program Evaluation.** Comparing the “proposed” allocation of funds in the FY 2019 Model Plan with how funds were actually obligated in FY 2019 can provide grantees with insight needed to re-evaluate program priorities.

## Common challenges with the Grantee Survey?

- **Defining obligations and expenditures.** The Grantee Survey requires the grantee to report on obligations (which are not necessarily expenditures).
- **Consistency.** The Grantee Survey must be consistent with other LIHEAP reports. For example, if the FY 2019 Household Report includes households that received cooling assistance, then we would expect to see some funds obligated to cooling assistance in the FY 2019 Grantee Survey.

# FY 2019 LIHEAP Performance Data Form: Grantee Survey

## *The Grantee Perspective*

### How does the Grantee Survey contribute to program management in Missouri?

The Grantee Survey provides us with an overall picture of how MO is using LIHEAP funds. This results in discussion within our office, and among our subgrantees, about our allocations/spend plan for the following year.

- *For example, are there some program components that are spending out more quickly than others? Should we divide our resources between program components differently?*

# FY 2019 LIHEAP Performance Data Form: Grantee Survey

## *The Grantee Perspective*

### Challenges and strategies associated with completing the Grantee Survey:

- **Timing, Coordination.** Completing the Grantee Survey requires close collaboration with our fiscal staff, who are extremely busy each January with the legislative session.
  - One way we ease the burden on fiscal staff is to gather all of the additional “program information” necessary to complete the Grantee Survey (households served, income thresholds) in advance. We also include any back-up documentation (e.g., report checklists) that may be useful in tracking down information used to compile the report.

# FY 2019 LIHEAP Performance Data Form: Grantee Survey

## How does this report link with other OCS reports to tell a story of my FY 2019 LIHEAP Program?

What unobligated FY 2018 funds am I carrying into FY 2019?

**FY 2018 Carryover and Re-allotment Report**

How will I administer FY 2019 LIHEAP in my state, tribe or territory?

**FY 2019 LIHEAP Model Plan**

Who applied for and received LIHEAP in FY 2019?

**FY 2019 LIHEAP Household Report**

How did we allocate our funds between LIHEAP components in FY 2019?

**FY 2019 LIHEAP Grantee Survey**

What unobligated FY 2019 funds am I carrying in to FY 2020?

**FY 2019 Carryover and Re-allotment Report**

# FY 2019 LIHEAP Performance Data Form: Grantee Survey

Questions?

# FY 2019 LIHEAP Performance Data Form: Performance Measures

## Who is required to complete this report?

- *States and the District of Columbia*

## What is the purpose of this report?

- Reports the energy burden of assisted households—as well as the impact of LIHEAP on household energy burden, prevention of home energy loss, and restoration of home energy.
- Furnishes information on how effectively grantees are targeting benefits to those households with the highest energy burden.

## When is the report due?

- Part II of the FY 2019 Performance Data Form (Performance Measures) is due on January 31, 2020.

Aug 1, 2018	Initial FY 2018 Carryover & Re-allotment Report Due
Sept 1, 2018	FY 2019 Model Plan Due
<b>Oct 1, 2018—FFY 2019 BEGINS</b>	
Dec 15, 2018	FY 2018 Carryover & Re-allotment Revisions Due
Aug 1, 2019	Initial FY 2019 Carryover & Re-allotment Report Due
Sept 1, 2019	Initial FY 2019 LIHEAP Household Report Due
<b>Sept 30, 2019—FFY 2019 ENDS</b>	
Dec 15, 2019	FY 2019 Carryover & Re-allotment Revisions Due
Dec 15, 2019	Final FY 2019 LIHEAP Household Report Due
Jan 31, 2020	FY 2019 LIHEAP Performance Data Form Part I (Grantee Survey) Due
<b>Jan 31, 2020</b>	<b>FY 2019 LIHEAP Performance Data Form Part II (Perf. Measures) Due</b> 

# FY 2019 LIHEAP Performance Data Form: Performance Measures

## How do Performance Measures contribute to program management?

- Provides both OCS and program managers with information about how effectively grantees are targeting higher benefits to higher burden households (Assurance 5).
- Furnishes grantees with actual energy costs associated with different household main heating fuel types. This helps grantees to both test and “true-up” their benefit matrices.

## Common challenges with completing LIHEAP Performance Measures?

- **Vendor Data Collection:** It takes time to negotiate vendor data exchanges and to analyze/compile the data once it is submitted by vendors.
- **Subgrantee;/Partner Data Collection:** Grantees without centralized databases must take extra steps to collect household level data from subgrantees or program partners.

# FY 2019 LIHEAP Performance Data Form: Performance Measures

## *The Grantee Perspective*

### How do LIHEAP Performance Measures contribute to program management in Missouri?

- Prior to obtaining (and systematically using) actual energy cost data, we were “shooting in the dark” to improve our benefit matrix.
- Even without “perfect” data, we are able to see trends and patterns among our assisted households that have allowed us to begin making incremental changes in our program.

*Example: Change in Missouri benefit matrix*

# FY 2019 LIHEAP Performance Data Form: Performance Measures

## *The Grantee Perspective*

### Challenges, strategies associated with completing LIHEAP Performance Measures:

- **IT staff must understand what needs to be gathered and compiled.** We have started to make sure IT staff attend training webinars, and that they have access to resources through APPRISE and others (e.g., data collection guide, calls with TA contractors).
- **Getting our subgrantees, partners on the same page.** For example, we've recently been working with our Weatherization partners to establish clear procedures for collection of prevention and restoration data.

# FY 2019 LIHEAP Performance Data Form: Performance Measures

## How does this report link with other OCS reports to tell a story of my FY 2019 LIHEAP Program?

What unobligated FY 2018 funds am I carrying into FY 2019?

**FY 2018 Carryover and Re-allotment Report**

How will I administer FY 2019 LIHEAP in my state, tribe or territory?

**FY 2019 LIHEAP Model Plan**

Who applied for and received LIHEAP in FY 2019?

**FY 2019 LIHEAP Household Report**

How did we allocate our funds between LIHEAP components in FY 2019?

**FY 2019 LIHEAP Grantee Survey**

How did LIHEAP impact the households we served in FY 2019?

**FFY 2019 LIHEAP Performance Measures**

What unobligated FY 2019 funds am I carrying in to FY 2020?

**FY 2019 Carryover and Re-allotment Report**

# FY 2019 LIHEAP Performance Data Form: Performance Measures

Questions?

# Available Resources

- [LIHEAP Clearinghouse](#): The LIHEAP Clearinghouse contains LIHEAP State Plans, Manuals, contracts, and other administrative documents. Additionally, the Clearinghouse provides an extensive list of publications related to all areas covered in this training session. Grantees are encouraged to call Clearinghouse staff if they need assistance finding resources.
- [OCS Website](#): The OCS website provides resources for LIHEAP grantees including information memoranda, Dear Colleague notices, and training materials.
- [LIHEAP Virtual Library](#): The LIHEAP Virtual Library was designed by grantees to help their peers walk through all aspects of LIHEAP program administration.
- [LIHEAP Performance Management Website](#): The LIHEAP Performance Management website includes a data warehouse with basic and advanced reporting tools. Additionally, the website contains a wealth of grantee resources related to LIHEAP data, required reporting, and Performance Management.
- ["LIHEAP Reporting Requirements"](#) This LIHEAP Clearinghouse publication provides an overview of required LIHEAP reports.

# OCS Reports: *What Are They and Why Are They Important?*

**Questions?**