

FY 2020 Carryover & Reallotment Report *Overview & Reminders*

LIHEAP Webinar hosted by the Office of Community Services (OCS) in the Administration for Families and Children (ACF) presented by APPRISE under contract to OCS

October 27th, 2020

Welcome:

Sharnice Peters (OCS)

Presenters:

Dan Bausch (APPRISE)



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Welcome

- **Purpose of This Webinar**

- To briefly review the purpose of the Carryover & Reallotment Report.
- To review the changes to the FY 2020 form and explain the new reporting requirements for CARES Act funds.
- To review common issues and questions for completing the report.
- To provide LIHEAP Coordinators and staff with key reminders.

- **Audience for This Webinar**

- LIHEAP Coordinators
- Fiscal staff and other staff that assist with completing the report.

Webinar Overview

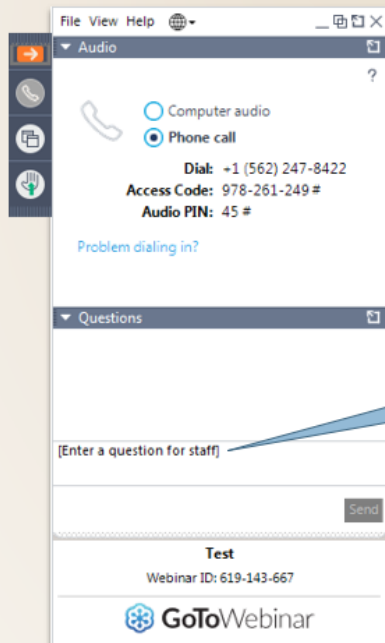
- **Structure of The Webinar**

- 30 minutes to review key information.
- **Slides available for download now** under “Handouts” in the GoToWebinar Sidebar.
- The webinar is being recorded and will be published on the ACF YouTube channel.

GoToWebinar Question Box

- **Have a question?**

- You are encouraged to ask questions as you have them by typing them into the GoToWebinar “Question” box.
- Submitted questions will be reviewed and responded to at the end of the webinar or via an e-mail from APPRISE.



Enter text here to ask a question.

If the sidebar is minimized, it will look like this:

Click this button to expand sidebar.



Purpose of the Carryover & Reallotment Report

- Each fiscal year, OCS awards LIHEAP funds to grantees.
- Grantees must **obligate** no less than 90 percent of **regular LIHEAP funds** they are awarded in a fiscal year during that same fiscal year.
- The Carryover and Reallotment Report requires grantees to report the amount of awarded funds that were not obligated during the fiscal year, capturing information on funds that grantees are **carrying over** into the next fiscal year or are **returning** to the federal government.
- The report allows OCS to identify grantees returning funds and to develop a preliminary determination of funds that will be available for reallotment.

New Changes to the Carryover & Reallotment Report

- In March, the President signed into law the Coronavirus Aid, Relief, and Economic Security (CARES) Act (Public Law 116-136). As part of the CARES Act, Congress appropriated approximately \$900 million in supplemental funds for LIHEAP.
- On May 8th, OCS released the LIHEAP CARES Act funds to grantees.
- The Dear Colleague Letter announcing the award of LIHEAP CARES Act funds notified grantees that they “must track, account for, and report on” these funds.
<https://www.acf.hhs.gov/ocs/resource/liheap-dcl-2020-10-cares-act-supplemental-funding-release-fffy20>
- To allow OCS to monitor the use of CARES Act Funds, **the Carryover & Reallotment Report has been revised for FY 2020 and FY 2021.**

New Changes to the Carryover & Reallocation Report

- Form Changes: The form layout now includes three sections:
 - Section 1 is for reporting on Regular LIHEAP funds.
 - Section 2 is for reporting on LIHEAP CARES Act funds.
 - Section 3 is reserved for other supplemental funds [*Not Applicable for FY 2020 reporting*].
- Reporting Requirement Changes:
 - Regular LIHEAP Funds
 - **There are no changes to the reporting requirements for Regular LIHEAP funds.**
 - LIHEAP CARES Act Funds
 - Grantees are required to report the amount of CARES Act supplemental LIHEAP funds that were **not** obligated in FY 2020 and are being carried over to FY 2021.

Key Concepts for Reporting



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Key Concepts for Reporting *Obligations*

- Grantees are required to obligate LIHEAP funds to specific uses consistent with the LIHEAP statute and regulations.
- The LIHEAP statute provides grantees with flexibility in defining what constitutes the obligation of funds. As a result, the definition for "obligation" varies across grantees. Examples include:
 - The official designation of funds for specific purposes.
 - The issuance or commitment of funds for specific purposes to subgrantees or partners.
- Obligations are not always the same as expenditures.
 - Expenditures generally include benefits that are issued/paid.
 - In some cases, obligated funds are not actually expended until after the end of the Fiscal Year. For example, a grantee may obligate funds for Heating Assistance during the Fiscal Year, but a portion of those funds may not be expended as benefits issued to clients until subsequent Fiscal Years.
- For the Carryover & Reallotment Report, grantees report on obligated and unobligated funds during FY 2020 (October 1, 2019 to September 30, 2020).

Key Concepts for Reporting *Carryover Funds*

- Carryover Funds are LIHEAP funds that a grantee did not obligate during the same Fiscal Year because the grantee elected to “carry over” or hold available those funds for obligation in the subsequent fiscal year.
- Regular LIHEAP funds and LIHEAP CARES Act funds can be “carried over” from FY 2020 to FY 2021, but the allowable limits differ for each funding source:
 - For Regular LIHEAP Funds, the LIHEAP statute allows grantees to carry over up to 10% of funds for the fiscal year they are awarded to the subsequent fiscal year.
 - For LIHEAP CARES Act funds, grantees may carry over up to 100% of awarded funds from FY 2020 to FY 2021.

Key Concepts for Reporting *Returned Funds (e.g. Reallocation Amount)*

- Because grantees may only carry over up to 10% of Regular LIHEAP funds to the next fiscal year, grantees must obligate 90% of Regular LIHEAP funds during the same fiscal year they were awarded those funds.
- If a grantee has unobligated Regular LIHEAP funds that exceed the 10% threshold, the grantee must return those unobligated funds to the Federal government. HHS then determines total funds available for reallocation and distributes them among grantees during the subsequent fiscal year.
- Grantees must take reasonable steps to mitigate the risk of returned federal LIHEAP funding. **During the fiscal year, any grantee that anticipates having unobligated funds at the end of the year in excess of their carryover limit should contact their liaison to discuss their situation.**

Section 1: Reporting on Regular LIHEAP Funds



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Reporting on Regular LIHEAP Funds

What funds are included in Section 1?

- Section I is focused on Regular LIHEAP Funds only.
- Regular LIHEAP funding for FY 2020 included the following:
 - FY 2020 block grant funds
 - FY 2019 Reallotment funds (awarded September 28, 2020)
- Regular LIHEAP funds do NOT include:
 - Prior FY 2019 funds grantees elected to carry over to FY 2020
 - LIHEAP CARES Act Fund
 - Any non-federal or non-LIHEAP funds
- Note: The reporting requirements for Section I are the same reporting requirements from last year's FY 2019 report.

Reporting on Regular LIHEAP Funds

Line 1.1 – Current Year Amount Payable

- Line 1.1 contains your total Regular LIHEAP funding award amount for FY 2020.
- This field is pre-populated by OCS and is locked from editing by grantees. **Grantees should compare the amount against their fiscal records to confirm it is correct.** If they don't match, try resaving or revalidating your form. Contact APPRISE or your liaison if you need assistance.

1.1) Current year amount payable (regular block grant funds, reallocated funds, and any oil overcharge funds designated for use in LIHEAP for FY 2020)	\$16,461,781
1.2) 10 percent of amount payable (regular block grant funds and reallocated funds)	\$1,646,178
1.3) Projected unobligated balance (regular block grant funds and reallocated funds)	\$0
<i>If line 1.3 is equal to or less than line 1.2, report the amount on line 1.3 as your Carryover amount below. Report \$0 funds for reallocation.</i>	
<i>If line 1.3 is larger than line 1.2, then report the amount on line 1.2 as your Carryover amount below. Report the difference between line 1.2 and line 1.3 as the reallocation amount below.</i>	
Regular Block Grant Carryover amount (Regular block grant funds to be carried over for obligation in the following fiscal year.)	\$0
Reallocation amount (Regular block grant funds that exceed the 10% carryover amount and are to be returned the Federal government.)	\$0

Reporting on Regular LIHEAP Funds

Line 1.3 – Unobligated Balance

- Line 1.3 is the only line in Section 1 where grantees enter a dollar value.
- Grantees should report the total amount of regular LIHEAP funds that were not obligated in FY 2020.
- Upon saving or validating the form, the report will automatically calculate your carryover amount and your reallocation amount [Shown in green].

1.1) Current year amount payable (regular block grant funds, reallocated funds, and any oil overcharge funds designated for use in LIHEAP for FY 2020)	\$16,461,781
1.2) 10 percent of amount payable (regular block grant funds and reallocated funds)	\$1,646,178
1.3) Projected unobligated balance (regular block grant funds and reallocated funds)	\$0

If line 1.3 is equal to or less than line 1.2, report the amount on line 1.3 as your Carryover amount below. Report \$0 funds for reallocation.

If line 1.3 is larger than line 1.2, then report the amount on line 1.2 as your Carryover amount below. Report the difference between line 1.2 and line 1.3 as the reallocation amount below.

Regular Block Grant Carryover amount (Regular block grant funds to be carried over for obligation in the following fiscal year.)	\$0
Reallocation amount (Regular block grant funds that exceed the 10% carryover amount and are to be returned the Federal government.)	\$0

If you report a Regular Block Grant Carryover amount under line 1.3, please provide the following:

1.3)a) Briefly state the reasons that these funds will not be obligated in the fiscal year for which they were allotted

1.3)b) Briefly describe the types of assistance to be provided with the amount of Regular block grant funds that will be held available for the following fiscal year:

Enter unobligated funds here.

These values will be automatically updated upon saving or validating the form.

Reporting on Regular LIHEAP Funds

Line 1.3 – Unobligated Balance

- If you report any funds in Line 1.3:
 - Enter notes in the first notes field to explain why these funds were not obligated during FY 2020.
 - Enter notes in the second notes field to explain how you plan to use these funds during FY 2021.

1.1) Current year amount payable (regular block grant funds, reallocated funds, and any oil overcharge funds designated for use in LIHEAP for FY 2020)	\$16,461,781
1.2) 10 percent of amount payable (regular block grant funds and reallocated funds)	\$1,646,178
1.3) Projected unobligated balance (regular block grant funds and reallocated funds)	\$0

If line 1.3 is equal to or less than line 1.2, report the amount on line 1.3 as your Carryover amount below. Report \$0 funds for reallocation.

If line 1.3 is larger than line 1.2, then report the amount on line 1.2 as your Carryover amount below. Report the difference between line 1.2 and line 1.3 as the reallocation amount below.

Regular Block Grant Carryover amount (Regular block grant funds to be carried over for obligation in the following fiscal year.)	\$0
Reallocation amount (Regular block grant funds that exceed the 10% carryover amount and are to be returned the Federal government.)	\$0

If you report a Regular Block Grant Carryover amount under line 1.3, please provide the following:

1.3)a) Briefly state the reasons that these funds will not be obligated in the fiscal year for which they were allotted

1.3)b) Briefly describe the types of assistance to be provided with the amount of Regular block grant funds that will be held available for the following fiscal year:

Section 2:

LIHEAP Supplemental Funds Appropriated under the CARES Act



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Reporting on LIHEAP CARES Act Funds

What funds are included in Section II?

- Section 2 is focused on LIHEAP CARES Act Funds only.
- LIHEAP CARES Act funds are distinct from regular LIHEAP funding awards (i.e. block grant funds and reallotment funds).
- Grantees must obligate up to 100% of LIHEAP CARES Act funds in Federal Fiscal Year (FFY) 2020 or 2021.
 - Any share of the CARES funds you received during FY 2020 may be held for obligation in FFY 2021.
- Grantees need to have fiscal procedures in place to track and distinguish the obligations of LIHEAP CARES Act funds so that this can be monitored, documented, and reported.

Reporting on LIHEAP CARES Act Funds

Line 2.1 – Amount Payable

- Line 2.1 contains your LIHEAP CARES Act award amount.
- This field is pre-populated by OCS and is locked from editing by grantees. **Grantees should compare the amount against their fiscal records to confirm it is correct.** If these do not match, try re-saving or re-validating your form. If they don't match, try resaving or revalidating your form. Contact APPRISE or your liaison if you need assistance.

2.1) Amount payable (CARES Act funds only)	\$0
2.2) Carryover amount - projected unobligated balance (CARES Act funds only)	\$0
2.3) Projected return of funds to HHS/unobligated balance as of 9/30/2021 (CARES Act funds only)	\$0
2.2)a) Briefly describe the types of assistance to be provided with the amount held available for the following fiscal year:	
<div></div>	
2.2-2.3) Briefly state the reasons that these funds will not be obligated:	
<div></div>	

Reporting on LIHEAP CARES Act Funds

Line 2.2 – Carryover Amount

- Report the total amount of LIHEAP CARES Act funds that were not obligated in FY 2020. All such funds are carried over to FY 2021.
- If you did not obligate any LIHEAP CARES Act funds during FY 2020, report the full Amount Payable from Line 2.1. If you obligated all of your LIHEAP CARES Act funds during FY 2020, report \$0 in Line 2.1.
- If you report any funds in this line, enter notes in the first notes field to explain how you plan to use these funds during FY 2021.

2.1) Amount payable (CARES Act funds only)	\$0
2.2) Carryover amount - projected unobligated balance (CARES Act funds only)	\$0
2.3) Projected return of funds to HHS/unobligated balance as of 9/30/2021 (CARES Act funds only)	\$0
2.2)a) Briefly describe the types of assistance to be provided with the amount held available for the following fiscal year:	
<div></div>	
2.2-2.3) Briefly state the reasons that these funds will not be obligated:	
<div></div>	

Reporting on LIHEAP CARES Act Funds

Line 2.3 – Projected Return at End of FY 2021

- Grantees are expected to obligate all LIHEAP CARES Act Funds by the end of FY 2021.
- This line is to report any anticipated LIHEAP CARES Act Funds that would not be obligated by the end of FY 2021. If you report any funds in this line, include detailed notes in the second notes field explaining why you expect LIHEAP CARES Act funds will not be entirely obligated by the end of FY 2021.

2.1) Amount payable (CARES Act funds only)	\$0
2.2) Carryover amount - projected unobligated balance (CARES Act funds only)	\$0
2.3) Projected return of funds to HHS/unobligated balance as of 9/30/2021 (CARES Act funds only)	\$0
2.2)a) Briefly describe the types of assistance to be provided with the amount held available for the following fiscal year:	
<div></div>	
2.2-2.3) Briefly state the reasons that these funds will not be obligated:	
<div></div>	

Report Versions, Submitting the Report in OLDC, and Final Reminders



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Report Versions

Preliminary and Final Reports

- **Preliminary Report – due October 30th**
 - Your initial report should include your current or recent estimates from your fiscal tracking system.
- **Final Report – due December 31st**
 - In upcoming months, you may receive updated fiscal information that impacts your reported unobligated balance and carryover amounts. This can include:
 - Revised information you receive from subgrantees/partners
 - Changes due to funding reconciliations or audit findings
 - Refunds from vendors
 - Your final report should include your updated estimates from your fiscal tracking system at that time.
 - Grantees may submit revisions to their reports later if corrections are needed. However, it is not expected that grantees update reports continually.

Report Versions

Consistency with Other Reports

- Grantees report information on unobligated or carried over funds in other annual reports:
 - Standard Form (SF) 425 *[All Grantees]*
 - FY 2020 LIHEAP Performance Data Form – Module 1 (Grantee Survey) *[State Grantees Only]*
- The information across your reports should be consistent.
- When state grantees later complete the FY 2020 Grantee Survey, they should:
 - Report the best estimate at that time from their fiscal tracking system of their carryover amount to FY 2021.
 - Check this amount against what they have reported in their FY 2020 Carryover & Reallotment Report.
 - If the amounts do not match, submit a revision to the FY 2020 Carryover & Re-allotment Report with the correct amount.

Submitting the Report

The Report Submission Process

- To complete this reporting requirement, you need to **submit** your form in the OLDC System.
- To submit the form, first enter and save your report. When ready, **validate** it. Once the form is valid and correct, **certify and submit**.

Save ➡ Validate ➡ Certify ➡ Submit

- The individuals who have permission to certify and submit may vary based on how you initially set up your OLDC account, but the user with the role "Grant Administrator" may perform all actions by default.

Final Reminders

- The Report now includes one section for reporting on Regular LIHEAP Funds (Section 1) and one section for LIHEAP Cares Act Funds (Section 2).
- There are only three dollar amounts grantees need to enter:
 - The amount in unobligated FY 2020 Regular LIHEAP Funds (line 1.3)
 - The amount in unobligated LIHEAP Cares Act Funds carried into FY 2021 (line 2.2)
 - The amount of anticipated LIHEAP CARES Act Funds that would not be obligated by the end of FY 2021, if any (line 2.3)
- Grantees should include detailed notes explaining reporting.
- The preliminary report is due October 31st. The final report is due December 31, 2020.

Final Reminders

Resources

- Action Transmittal and Instructions:

<https://www.acf.hhs.gov/ocs/resource/liheap-at-2020-05-carryover-and-reallotment-report-fy-2020>

- Staying Under the 10% Carryover Limit:

https://liheapch.acf.hhs.gov/docs/Carryover-Reallotment_Tool/

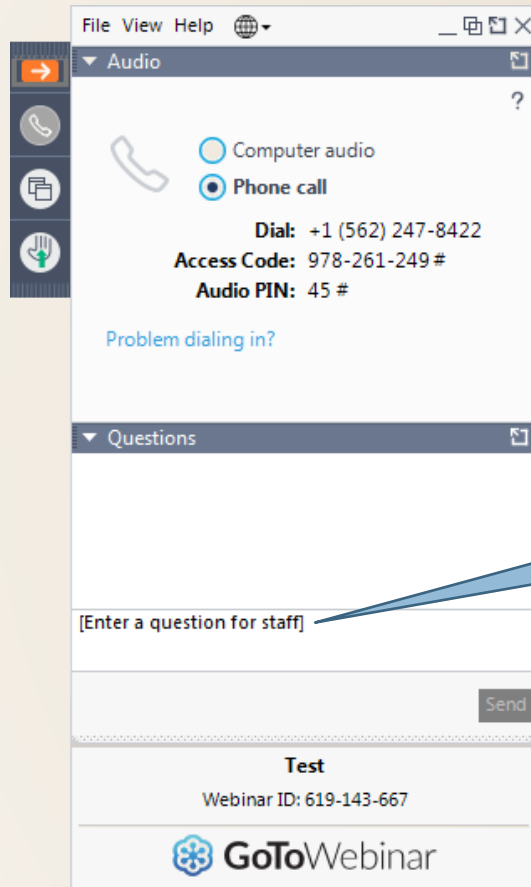
- OCS liaisons

<http://www.acf.hhs.gov/programs/ocs/resource/division-of-energy-assistance-federal-staff>

- APPRISE Team

- Daniel Bausch, Daniel-Bausch@appraiseinc.org; 609-252-9050
- Jorge Mancilla, Jorge-MancillaUribe@appraiseinc.org; 609-252-9009
- Melissa Torgerson (Verve Associates); Melissa@verveassociates.net

GoToWebinar Question Box



Enter text here to ask a question.

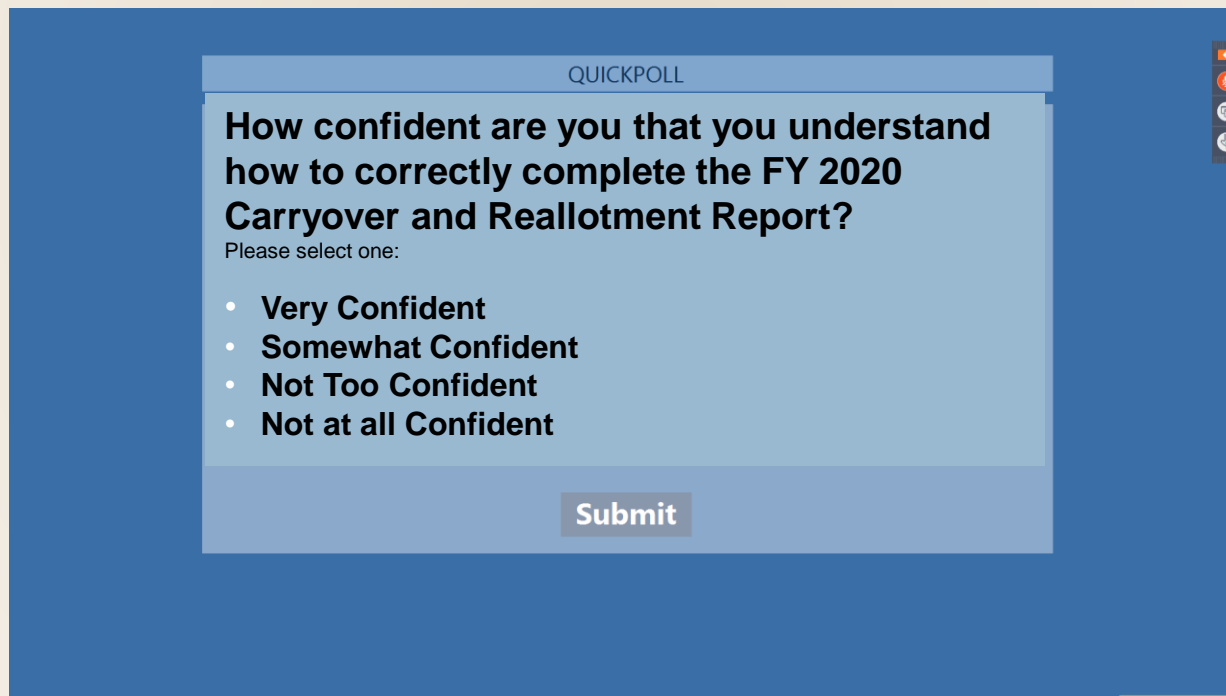
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Click this button to expand sidebar.



Audience Poll Question

- How confident are you that you understand how to correctly complete the FY 2020 Carryover & Reallotment Report?



QUICKPOLL

How confident are you that you understand how to correctly complete the FY 2020 Carryover and Reallotment Report?

Please select one:

- **Very Confident**
- **Somewhat Confident**
- **Not Too Confident**
- **Not at all Confident**

Submit

The image shows a screenshot of a 'QUICKPOLL' interface. It features a blue background with a white text box containing the poll question and options. The question is 'How confident are you that you understand how to correctly complete the FY 2020 Carryover and Reallotment Report?'. Below the question, it says 'Please select one:' followed by four bullet points: 'Very Confident', 'Somewhat Confident', 'Not Too Confident', and 'Not at all Confident'. At the bottom of the white box is a 'Submit' button. On the right side of the blue area, there is a vertical toolbar with icons for back, forward, and other navigation functions.

Extra Slides on Using OLDC







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Submitting the Report

Accessing OLDC

- OLDC is accessed through Grant Solutions, accessed at <https://www.grantsolutions.gov/gs>
 - Once logged in, click “OLDC” in the top taskbar to access the OLDC homepage.
 - Click, “Report Form Entry”
 - Select, “Low Income Home Energy Assistance” as the program, your state/agency as the grantee, and “Carryover and Reallotment” as the report.
 - Click the plus sign icon under the **10/01/2019 - 09/30/2020** to access the report.

Reporting Period ▾	Type ▾	Report Status ▾	Actions ▾
10/01/2020 - 09/30/2021	Annual		+
10/01/2019 - 09/30/2020	Annual		+
10/01/2018 - 09/30/2019	Annual	Submitted	   











Submitting Your Final Report

- If the preliminary form status is “Submitted” (not yet accepted by your liaison):
 - In the Report Status page screen, click “Unsubmit Report”.

Report Form Status				
<u>Report Submissions:</u>	<u>Report Status:</u>	<u>Status Date:</u>	<u>Report Action:</u>	<u>Print:</u>
View Original	Submitted	07/31/2019	Unsubmit Report Review	HTML Print Form <input type="button" value="Go"/>

- Then you will have to click “View Original” to go into your report and click “Uncertify”. At that point, the fields in your report will become editable again. The system will not keep a copy of your old report.
- If the preliminary form status is “Submission Accepted by CO” (i.e. accepted by your liaison):
 - In the Form Selection Page, click the icon that resembles a blank sheet of paper:

Reporting Period ⚡	Type ⚡	Report Status ⚡	Actions ⚡
10/01/2020 - 09/30/2021	Annual		+
10/01/2019 - 09/30/2020	Annual	Submission Accepted by CO	   
10/01/2018 - 09/30/2019	Annual	Submission Accepted by CO (Revision #1)	   

- This will create a new, editable version of your report. A copy of the old one will be kept in the system.

OLDC Resources

- OLDC is accessed through Grant Solutions.
- Log-in to Grant Solutions at <https://www.grantsolutions.gov/gs>
- Once logged in, click “OLDC” in the top taskbar to access the OLDC homepage.
- If you need assistance, please contact Grants Center Of Excellence Systems Help Desk:
 - (202) 401-5282 or (866) 577-0771
 - help@grantsolutions.gov