

FY 2020 Performance Data Form – *What's New for Module 1 (Grantee Survey)*

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

February 9, 2021

Welcome:

Sharnice Peters (OCS)

Presenters:

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Dan Bausch (APPRISE)



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Welcome

- **Purpose of This Webinar**

- To provide an overview of Module 1 (Grantee Survey) of the LIHEAP Performance Data Form.
- To furnish details on the new requirements related to the LIHEAP CARES Act funds during FY 2020.
- To explain the key concepts for correctly completing the report.
- To highlight general reporting reminders.

- **Audience for This Webinar**

- State Coordinators and other staff who have previously worked on the Grantee Survey

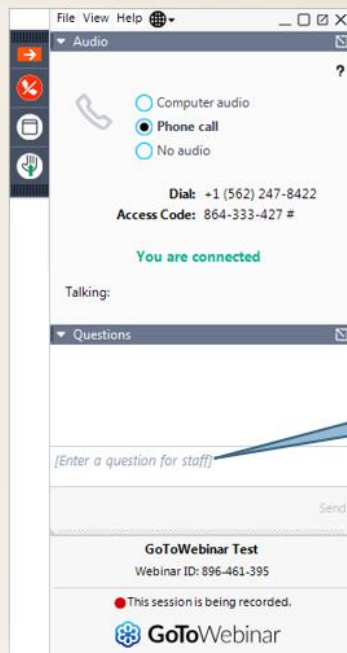
Webinar Overview

- **Structure of The Webinar**
 - 60-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.



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Presenter(s):
Melissa Torgerson

Presentation Outline

- | | | |
|----|---|-----------------|
| 1. | Overview of the Grantee Survey | Slide 6 |
| 2. | FY 2020 Grantee Survey Updates | Slide 11 |
| 3. | Key Concepts for Reporting | Slide 16 |
| 4. | New LIHEAP CARES Reporting Requirements | Slide 21 |
| 5. | Grantee Survey Reporting Reminders | Slide 30 |
| 6. | Data Validation & Checks | Slide 35 |
| 7. | Final Reminders | Slide 37 |

Overview of the Grantee Survey



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Overview of the Performance Measures

The Performance Data Form

- The Performance Data Form is one report consisting of three modules:



- Module 1 (Grantee Survey) – Mandatory
- Modules 2 (Performance Measures) - Mandatory
- Module 3 (Optional Performance Measures) – Optional

Overview of the Grantee Survey

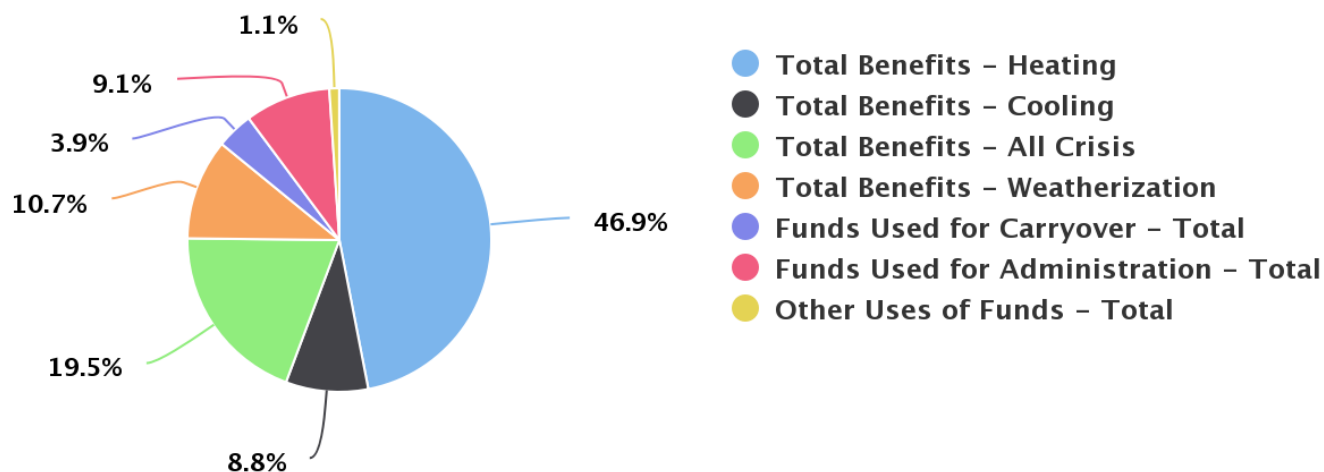
Background

- The Grantee Survey is a historic LIHEAP report to provides OCS with important information on how state grantees obligate available funds during a specific federal fiscal year.
- Three main types of data need to be reported:
 - The amount of funds obligated to different LIHEAP components
 - The average LIHEAP benefits provided to households
 - The income eligibility criteria used for each LIHEAP program component
- **It is not an audit report.** Rather, the Grantee Survey provides a snapshot of how LIHEAP funds are used each fiscal year, the average benefit amounts households are receiving, and how grantees are setting eligibility criteria.

Overview of the Grantee Survey

Example of Grantee Survey Data

Use of LIHEAP Program Funds – National – Fiscal Year 2019



- Charts and tables with state Grantee Survey data are available in the [LIHEAP Data Warehouse](#) under “Standard Reports”.

Overview of the Grantee Survey

Relation to Other Reports

Model Plan

Program Components
Benefit determination procedures
Minimum and maximum benefit levels

Grantee Survey

How you obligated your LIHEAP funds
Average benefits
Income eligibility criteria

LIHEAP Reports

Household Report

Households Served by Assistance Type
Total Households Served
Households by Poverty Interval
Households by Vulnerability

Performance Measures

Energy burden reduction impacts
Benefit targeting
Restoration of energy service
Prevention of loss of energy service

FY 2020 Grantee Survey Update



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FY 2020 Grantee Survey Update:

Update on Status & Due Date

- OCS is expected to issue an Action Transmittal soon with the revised due date for the FY 2020 Performance Data Form.
- The new due date will be in March.
- The Action Transmittal will include the FY 2020 instructions document.
- Grantees are encouraged to prepare their FY 2020 reports **now** to be ready to submission.

FY 2020 Grantee Survey Update: *New Changes For FY 2020 Reporting*

- There are two changes for completing and submitting your FY 2020 Grantee Survey:
 - *Change #1* – New LIHEAP CARES Reporting Requirements
 - *Change #2* – Report Submission Approach

FY 2020 Grantee Survey Update:

Changes For FY 2020: New CARES Reporting

Change #1 – New LIHEAP CARES Reporting Requirements

- As part of the 2020 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.
- **To allow OCS to monitor the use of CARES Act Funds, the Grantee Survey for FY 2020 and FY 2021 includes separate CARES lines so grantees can report on the sources and uses of CARES funds.**
- This means grantees will report on:
 - Total funds, average benefits, and income thresholds for regular (non-CARES) funds/programs.
 - Total funds, average benefits, and income thresholds for CARES funds/programs.

FY 2020 Grantee Survey Update:

Changes For FY 2020: Submission Approach

Change #2 – Submission Approach

- OCS is in the process of working to have the new CARES information for the Grantee Survey added into OLDC. However, this process is ongoing.
- **To assist with timely submission, OCS will be sending each grantee an Excel spreadsheet of the Performance Data form that includes their pre-populated sources of funds.**
- **OCS is asking grantees to enter their final Module 1 and Module 2 data into this spreadsheet and to submit the spreadsheet by the March due date.**
- APPRISE will review the reports. Once OLDC programming is complete, OCS and APPRISE will ask grantees to copy their approved final report from the spreadsheet into OLDC.

Key Concepts for Reporting



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Key Concepts for Reporting

#1 - *FFY 2020 Reporting Period*

- The FY 2020 Grantee Survey is focused on federal fiscal year 2020.
- This is from October 1, 2019 to September 30, 2020.
- *Timing Nuances:*
 - You may have applicants that applied in FFY 2019, but received their benefit during FFY 2020. Those should be included when calculating the average benefit amounts for FFY 2020.
 - If you operate any of your programs on a different calendar (e.g., starting January 1 or July 1):
 - The data used to complete the Grantee Survey still needs to correspond to the federal fiscal year period.
 - This means that you may need to pull information for portions of two of your program years.

Key Concepts for Reporting

#1 - *FFY 2020 Reporting Period*

- Guidance for Grantee Survey reporting:
 - **Sources of Funds:** Include all funds awarded by OCS in FY 2020, and funds optionally carried into FFY 2020 from FFY 2019.
 - **Uses of Funds:** Report on how the FY 2020 sources of funds were obligated or not obligated during FY 2020.
 - **Income Eligibility Thresholds:** Report on your income cutoff levels set at the start of your FFY 2020 program components.
 - **Average Benefits:** Report on the mean benefit amounts for households that received their benefit during FFY 2020.

Key Concepts for Reporting

#2 – *Uses of LIHEAP Funds (Obligations)*

- The Grantee Survey asks you to report “total funds” for different program components. This refers to the amount of your available funds in FFY 2020 you **obligated for each program component**.
- 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.

Key Concepts for Reporting

#3 – *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 (10% for regular block grant funds, 100% for LIHEAP CARES)
- For the Grantee Survey, the amounts you report as being carried over to FFY 2021 should match the amounts in your final FFY 2020 Carryover & Reallotment Report.
- If you need assistance submitting a revision to your FFY 2020 Carryover & Reallotment report, please contact APPRISE.

New LIHEAP CARES Reporting Requirements



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New LIHEAP CARES Reporting Requirements *Overview*

- The Grantee Survey has been expanded with **new requirements** designed to document how LIHEAP CARES Act funds are being used to assist households.
- Form Layout
 - The revised Grantee Survey maintains the same format as the past.
- New Form Lines/Sections
 - CARES lines have been added.
 - You report information first for regular LIHEAP funds (non-CARES).
 - You then report the same information for CARES funds only.

New LIHEAP CARES Reporting Requirements

Comparison to Household Report

- The FY 2020 Household Report asked grantees to report as follows for each type of assistance:
 - Report all households (regular + CARES) first;
 - Then report the subset that received any CARES assistance.
- The FY 2020 Grantee Survey is asking grantees to report:
 - Information for regular LIHEAP funds only, and
 - Information for CARES funds only
- The Grantee Survey has not fields where you will report combined regular LIHEAP and CARES funds.

New LIHEAP CARES Reporting Requirements *Layout*

- Reporting for Regular LIHEAP funds (non-CARES):

A. Type of LIHEAP Assistance--Non-Supplemental Funds (Items 1-4)

1. Heating Assistance Benefits--non-supplemental funds

2. Cooling Assistance Benefits--non-supplemental funds

3. Crisis Benefits by Type--non-supplemental funds

a. Winter Crisis Benefits--non-supplemental funds

b. Summer Crisis Benefits--non-supplemental funds

c. Year-round Crisis Benefits--non-supplemental funds

d. Other Crisis Benefits--non-supplemental funds

(1) Specify--non-supplemental funds

(2) Specify--non-supplemental funds

(3) Specify--non-supplemental funds

4. Weatherization Assistance Benefits--non-supplemental funds

All of FFY 2020 (10/1/2019) to 9/30/2020)

Amount Rounded to the Nearest Dollar

Total Funds/Awards	Average Household Benefit	Maximum Annual Dollar Income for 4-Person Household as of the effective
\$0	\$0	\$0
\$0	\$0	\$0
\$0	\$0	\$0
\$0	\$0	\$0
\$0	\$0	\$0
\$0	\$0	\$0
\$0	\$0	\$0
\$0	\$0	\$0
\$0	\$0	\$0

New LIHEAP CARES Reporting Requirements *Layout*

- Reporting for LIHEAP CARES funds:

D. Type of LIHEAP Assistance--CARES Act Funds (Items 15-18)

All of FFY 2020 (10/1/2019) to 9/30/2020		
Amount Rounded to the Nearest Dollar		
Total Funds/Awards	Average Household Benefit	Maximum Annual Dollar Income for 4-Person Household as of the effective
15. Heating Assistance Benefits--CARES Act Funds	\$0	\$0
16. Cooling Assistance Benefits--CARES Act Funds	\$0	\$0
17. Crisis Benefits by Type--CARES Act Funds		
a. Winter Crisis Benefits--CARES Act Funds	\$0	\$0
b. Summer Crisis Benefits--CARES Act Funds	\$0	\$0
c. Year-round Crisis Benefits--CARES Act Funds	\$0	\$0
<u>d. Other Crisis Benefits--CARES Act Funds</u>	\$0	
(1) Specify--CARES Act Funds	\$0	\$0
(2) Specify--CARES Act Funds	\$0	\$0
(3) Specify--CARES Act Funds	\$0	\$0
18. Weatherization Assistance Benefits--CARES Act Funds	\$0	\$0

New LIHEAP CARES Reporting Requirements

Distinguishing CARES versus Regular Funds

- If you used CARES funds to provide households with supplemental or extra benefits...
- **You want to report information separately on CARES versus regular LIHEAP funds (non-CARES).**
 - Funds – Report total regular funds separately from total CARES funds.
 - Average Benefits – Report the average benefit amounts based on regular funds and report the average benefit amounts based on CARES funds.
 - Income Thresholds – Report the maximum income based on the income threshold you used.

Scenario #1

Grantee Z Carries Over All CARES Funds

- Grantee Z received \$1 Million in LIHEAP CARES Act funds. They decided to obligate none of the CARES funds during FFY 2020 and carry over all funds to FFY 2021.

CARES Lines	Total Funds	Average Benefit
Sources of CARES Funds		
CARES Act Allotment (Net of Indian Tribal Set-Asides)	\$1 Million	
Uses of CARES Funds		
Administration / Planning	\$0	-
Unobligated CARES Act Funds Carried Over to next FFY	\$1 Million	-
<i>Sum of Uses of CARES</i>	\$1 Million	-

Scenario #2

Grantee X Obligates All CARES for Supplemental Benefits

- Grantee X received \$1 Million in LIHEAP CARES Act funds. They decided to obligate all the CARES funds during FFY 2020.
- Grantee X used the CARES funds to provide \$50 supplemental benefits to households that had received their regular heating assistance.
- 95% of CARES went to their supplemental benefits and 5% to administration.

CARES Lines	Total Funds	Average Benefit
Sources of CARES Funds		
CARES Act Allotment (Net of Indian Tribal Set-Asides)	\$1 Million	-
Uses of CARES Funds		
Heating Assistance	\$950,000	\$50
Administration / Planning	\$50,000	-
Unobligated CARES Act Funds Carried Over to next FFY	\$0	-
<i>Sum of Uses of CARES</i>	\$1 Million	-

Scenario #3

Grantee Y Obligates Half of CARES for New Crisis Program

- Grantee Y received \$1 Million in LIHEAP CARES Act funds. They decided to obligate half the CARES funds during FFY 2020 and carry over the other half to FFY 2021.
- Grantee Y used the CARES funds in FFY 2020 to provide a implement a new COVID Crisis program. The average benefit from this program was \$250.
- 95 % of funds went to the program, 5% to administration.

CARES Lines	Total Funds	Average Benefit
Sources of CARES Funds		
CARES Act Allotment (Net of Indian Tribal Set-Asides)	\$1 Million	-
Uses of CARES Funds		
Other Crisis Assistance #1 – COVID Crisis Program	\$475,000	\$250
Administration / Planning	\$25,000	-
Unobligated CARES Act Funds Carried Over to next FFY	\$500,000	-
<i>Sum of Uses of CARES</i>	\$1 Million	-

Grantee Survey Reporting Reminders



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Reporting Reminders:

#1 - *Consistency between Sources and Uses*

- Your Grantee Survey should reflect how all the funds your received in FY2020 (in Section III, Sources of Funds) were obligated (in Section IV, Uses of Funds).
- If all the funding received were obligated or carried over, the totals in Section III (Sources of Funds) should match the totals in Section IV (Uses of Funds).
- Funding from the separate sources is reported in separate lines. As a result, subtotals for each funding source in Section III should match the subtotals for each funding source in Section IV.
- *The following lines should match...*
 - **Line 10 in Section III (Subtotal of Non-Supplemental Funds)** should match **Line 14 in Section IV (Total Uses of Funds – Non-Supplemental)**.
 - **Line 11 in Section III (CARES Act Allotment)** should match **Line 25 in Section IV (Total Uses of Funds – CARES Act Funds)**.

Reporting Reminders:

#2 - *Consistency with Household Report*

- Data reported in Section IV “Uses of LIHEAP funds” should match the types of assistance reported in your Household Report.
- If you reported assisting households with a type of assistance in your Household Report, you should be able to report the following for that type of assistance:
 - **Total Funds/Awards Funds**
 - **Average Household Benefit**
 - **Maximum Annual Dollar Income**
- Please add a note if...
 - If you obligated \$0 for a type of assistance reported in your Household Report.
 - If you obligated funds for assistance and reported 0 assisted households for that assistance in your Household Report

Reporting Reminders:

#3 - *Average Household Benefits*

- The Grantee Survey asks for information on the average benefit amount for households assisted with each type of assistance.
- For each type of assistance...
 - The average household benefit should take into account all types of benefits provided under that type of assistance during the entire fiscal year.
 - The average benefit is calculated by summing the benefit amounts across all households that received the assistance and dividing by the total number of households that received the assistance.
 - Separately calculate the average benefit amounts for regular LIHEAP (non-CARES) and CARES funds.
- If the average household benefit includes benefits other than bill payment assistance, please include a description of the benefit types in the 'Notes' section.

Reporting Reminders:

#4 - Maximum Annual Dollar Income

- The Grantee Survey asks for information on the maximum annual or annualized dollar income cutoff for a 4-person household that was in effect at the beginning of FY 2020 (October 1, 2019).
 - The Poverty Guidelines that were in effect at the beginning of FY 2020 were the 2019 HHS Poverty guidelines.
- If a Grantee's LIHEAP program component began after the release of the 2020 HHS Federal Poverty Guidelines, the grantee may choose to use the 2020 Guidelines in its FY 2020 LIHEAP Grantee Survey reporting.
 - Grantees who choose to use the 2020 HHS Poverty Guidelines in their report should include a note stating this in the 'Notes' section of the form.
- If you provided assistance using CARES funds:
 - Report the amount based on the income criteria used to receive the CARES benefit.

Data Validation and Checks



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Data Validations and Checks

Review Process

- APPRISE checks submitted Grantee Survey data and will e-mail grantees to alert them to any issues or questions based on their review.
- Checks include:
 - Verifying report data internal consistency
 - Verifying report data consistent with notes and other reports
 - Reviewing grantee notes
 - Checking CARES information is reported correctly.
- When your report is confirmed as complete, you will be notified.

Final Reminders



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Final Reminders

Changes to Module 1

- Module 1 (the Grantee Survey) has been revised for FY 2020 and FY 2021 to track and monitor the use of LIHEAP CARES funds.
- As in the past, grantees are required to report on sources and uses of regular LIHEAP funds (non-CARES). **New lines have been added so grantees can also report on the sources and uses of CARES funds.**
- The overall format of Module 1 is consistent with the past.
- Note: Module 2 (Performance Measures) has not been changed and has the same reporting format and lines as in prior years.

Final Reminders

FY 2020 Report Deadline

- OCS is expected to issue an Action Transmittal soon with the revised due date for the FY 2020 Performance Data Form.
- The new due date will be in March.
- The Action Transmittal will include the FY 2020 instructions document.

Final Reminders

Submission Approach

- OCS will be sending each grantee an Excel spreadsheet of the FY 2020 Performance Data form that includes their pre-populated sources of funds.
- **OCS is asking grantees to enter their final Module 1 and Module 2 data into this spreadsheet and to submit the spreadsheet by the March due date.**
- OCS will be sending further instructions soon.
- At a later date, OCS and APPRISE will ask grantees to copy their approved final report from the spreadsheet into OLDC.

Final Reminders

Grantee Survey Resources

- **“Check Before You Submit” Document:**

[https://liheappm.acf.hhs.gov/sites/default/files/private/grantee_tools/best_practices/PDF-Module-1-\(Grantee%20Survey\)-Check-Before-You%20Submit-Document.pdf](https://liheappm.acf.hhs.gov/sites/default/files/private/grantee_tools/best_practices/PDF-Module-1-(Grantee%20Survey)-Check-Before-You%20Submit-Document.pdf)

- **Prior FY 2019 Performance Data Form AT and Instructions:**

<https://www.acf.hhs.gov/ocs/policy-guidance/liheap-2020-01-performance-data-form-fy-2019>

- **Past Years’ Grantee Survey Data:**

https://liheappm.acf.hhs.gov/data_warehouse/index.php?report=homepage

Upcoming Training for the LIHEAP Performance Data Form

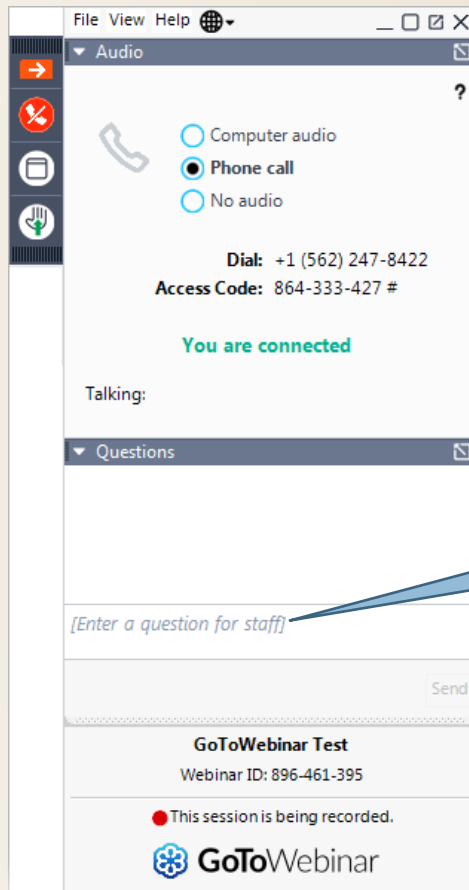
- This is the first of two webinars on completing Module 1 of the LIHEAP Performance Data Form.
- Upcoming Additional Webinar:
 - **Webinar #2: FY 2020 Performance Data Form – Step-by-Step Review of Module 1 (Grantee Survey)**
 - Date: February 16 at 3 PM EST

Final Reminders

Support Resources

- OCS liaisons
 - <https://www.acf.hhs.gov/ocs/contact-information/liheap-contact-information-division-energy-assistance-federal-staff>
- Grants Center Of Excellence systems Help Desk
 - help@grantsolutions.gov
 - (202) 401-5282 or (866) 577-0771
- APPRISE Team
 - Daniel Bausch, Daniel-Bausch@appraiseinc.org; 609-252-9050
 - Jorge Mancilla, Jorge-MancillaUribe@appraiseinc.org; 609-252-9009
 - Pragya Chauhan, Pragya-Chauhan@appraiseinc.org; 609-252-9057
 - Thomas Hanes, Tom-Hanes@appraiseinc.org; 609-252-9055
 - Melissa Torgerson, melissa@verveassociates.net

GoToWebinar Question Box



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Audience Poll Question #1

QUICKPOLL

How confident are you that you understand how to correctly complete the FY 2020 Grantee Survey?

Please select one:

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

Submit



Audience Poll Question

- Review Audience Responses