

Common Issues and Reminders for Completing the FY 2017 Performance Data Form - Module 1 (Grantee Survey)

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

January 17, 2018

Welcome:
Leon Litow (OCS Staff)
Vikki Pretlow (OCS Staff)

Presenter:
Melissa Torgerson (Verve Associates)



ADMINISTRATION FOR
CHILDREN & FAMILIES

Introduction & Welcome

- Welcome & Reminders
 - Leon Litow, OCS Staff
 - Vikki Pretlow, OCS Staff
- Reporting Requirements and Data Validation
 - Melissa Torgerson, Verve Associates

Update on the Performance Data Form Action Transmittal and Due Date

- The Performance Data Form is currently in review by the Office of Management and Budget (OMB).
- Upon approval by OMB, HHS will publish an Action Transmittal with the final due date and instructions for accessing and submitting the form in OLDC.
- Although grantees cannot currently certify or submit their FY 2017 report in OLDC, grantees are encouraged to prepare information needed for their report.
- **There are no changes from the FY 2016 Performance Data Form.**

Liaison Welcome

- All grantees have a liaison to assist them.
- Liaisons assist with guidance on...
 - Program operations
 - Resources
 - HHS requirements
 - OLDC Access
- Liaison Contact Information:
<https://www.acf.hhs.gov/ocs/resource/division-of-energy-assistance-federal-staff>

Webinar Overview

- This webinar focuses on the Module 1 (Grantee Survey) portion of the LIHEAP Performance Data Form (*Required for States and the District of Columbia*).
- A more in-depth Module 1 webinar (providing a line-by-line report overview) was presented on January 3, 2018.
- This webinar focuses on common issues and reminders for completing the FY 2017 Performance Data Form, including:
 - Performance Data Form Rules (Consistency, Using the Notes Section)
 - Data Validations and Checks
 - Proactive Emails
 - “Check Before You Submit” Document
 - Common Reporting Issues
 - Grantee Resources
- Breaks for Q&A

Presenter(s):
Melissa Torgerson

Module 1 (Grantee Survey) Rules

Consistent Reporting Across Grantees

- LIHEAP is a block grant, giving grantees the freedom to design unique and diverse programs.
- The Performance Data Form is a report required by OCS that all state grantees must complete.
- OCS must report consistent information to Congress, even though grantees can have unique programs.
- The Performance Data Form allows OCS to report uniform information across grantees.

Module 1 (Grantee Survey) Rules

Using the Notes Section

- If there is anything out of the ordinary with how your program is run or anything about your program operation that requires explanation, add a note in the Notes section.
- OCS uses these notes in tables and footnotes in the Report to Congress.
- Example on next slide
 - *Excerpt from FY 2014 Report to Congress: Table I-8. Estimates of state's uses of federal LIHEAP funds, FY 2014, by state*

Module 1 (Grantee Survey) Rules

FY 2014 Report to Congress Example

LIHEAP Report to Congress for FY 2014: Part I. Fiscal Data

Table I-8. Estimates of states' uses of federal LIHEAP funds, FY 2014, by state¹

State	Heating assistance benefits	Cooling assistance benefits	Energy crisis assistance benefits	Weatherization assistance benefits	Nominal payments ²	Carryover to FY 2015	Development of leveraging resources ³	Assurance 16 activities ⁴	Administrative and planning costs	Other ⁵	Total
Total	\$1,726,776,525	\$225,904,489	\$727,279,305	\$306,902,004	\$18,052,546	\$145,025,268	\$296,815	\$40,869,415	\$307,049,733	\$1,959,936	\$3,500,116,036
Alabama	19,037,751	14,809,138	8,414,912	950,000	0	3,348,056	0	506,509	4,485,430	0	51,551,796
Alaska ⁶	9,377,201	0	0	0	0	765,055	0	0	1,030,404	0	11,172,660
Arizona	4,383,469	8,140,729	3,131,049	2,936,546	0	557,518	35,000	950,180	1,889,515	0	22,024,006
Arkansas	8,597,739	5,864,024	6,028,412	3,695,626	0	0	0	1,052,055	2,337,900	0	27,575,756
California ^{7 8 9 10}	46,524,758	0	47,465,475	35,021,882	0	790,020	121,815	7,613,453	15,226,906	0	152,764,309
Colorado ⁸	36,876,402	0	2,151,491	4,037,408	0	3,275,853	0	0	4,637,783	0	50,978,937
Connecticut ^{8 11}	45,432,387	0	26,794,509	0	2,001,000	1,977,926	0	1,179,059	7,618,969	0	85,003,850
Delaware ⁸	7,583,602	1,884,068	1,656,386	572,902	250,000	887,642	0	170,619	1,291,576	0	14,296,795
Dist. of Col.	6,871,649	287,839	1,633,086	1,479,634	0	0	0	0	881,056	0	11,153,264
Florida	13,562,034	14,939,757	30,787,982	8,447,254	0	5,591,103	0	0	6,148,755	0	79,476,885

¹² Georgia, Illinois, Louisiana, Montana, South Carolina, and Virginia obligated funds to the state's Weatherization Program for FY 2014 but some or all households were weatherized in FY 2015 with such funds.

¹³ Indiana's energy crisis assistance funds include \$1,574,867 of funds obligated to Energy Education, as there is no other line item to capture this cost and this has been a direct program expense for Indiana.

¹⁴ Michigan's energy crisis assistance funds include \$40,000,000 for the Michigan Energy Assistance Program and \$4,500,000 for deliverable fuel assistance

¹⁵ Nebraska's energy crisis assistance funds include \$409,976 for deposit assistance and \$97,550 for a fan program.

¹⁶ Nebraska was unable to track \$86,827 of obligations for FY 2014.

¹⁷ Nevada's energy crisis assistance funds include \$2,320 for crisis intervention.

¹⁸ New Mexico's reported obligations are the state's best estimate based on client benefit expenditures of LIHEAP funds to date.

¹⁹ New York's cooling assistance funds were used to assist households with medically necessary cooling services (an installed AC unit) through the NY Homes and Community

Data Validations and Checks

Data Review

- APPRISE checks data in Module 1 of the Performance Data Form using the following:
 - **Internal consistency checks within the Performance Data Form**
 - APPRISE will contact grantees whose Total Sources and Total Uses of funds do not match.
 - **Comparison of current year data to the Household Report**
 - APPRISE will contact grantees if funding was obligated to a particular type of assistance but no assisted households were reported in the Household Report (and vice versa).
 - **Comparison of current year data to the Model Plan**
 - APPRISE will contact grantees if the Model Plan indicates the grantee will provide a particular type of assistance, but no funding is reported in the FY 2017 Grantee Survey (and vice versa).
 - APPRISE contacts grantees if their Model Plan indicates income thresholds that do not match those reported in the FY 2017 Grantee Survey.
 - **Comparison of current year data to current year Carryover Report**
 - APPRISE will contact grantees if the amount in Line 7 of Section IV in the Grantee Survey (Unobligated Funds Carried Over to Next FFY) does not match the carryover amount in the FY 2017 Carryover and Reallotment report.

Data Validations and Checks

Data Review

- APPRISE checks data in Module 1 of the Performance Data Form using the following:
 - **Comparison of current year data to previous year Grantee Survey**
 - APPRISE will contact grantees if the amount in Line 6 of Section III in the Grantee Survey (All Funds Carried Over from Previous FFY) does not match the amount in Line 7 of Section IV in the FY 2016 Grantee Survey (Unobligated Funds Carried Over to Next FFY) .
 - **Comparison of current year data to previous year Carryover Report**
 - APPRISE will contact grantees if the amount in Line 6 of Section III in the Grantee Survey (All Funds Carried Over from Previous FFY) does not match the carryover amount in the FY 2016 Carryover and Reallotment report.
- Add notes explaining any inconsistencies in the “Notes” section to avoid contact from APPRISE!

Data Validations and Checks

Warnings and Fatal Errors in OLDC

- Many of these validation checks are programmed into OLDC, and a warning or error message will appear if a check fails.
- Warning Messages indicate data that may be correct, but require confirmation and additional explanation in the “Notes” section of the form.
- Fatal Error Messages indicate inconsistent data that must be corrected before grantees are able to submit their LIHEAP Performance Data Form in OLDC.

Data Validations and Checks

Addressing Warnings and Fatal Errors

- If a warning message appears, but you have an explanation for the warning (and have confirmed that the data is correct), add a note addressing the warning.
- If a warning message appears and you do not know how to resolve it, contact APPRISE for assistance.
- If a fatal error occurs which will prevent you from submitting your report, contact APPRISE and we will work together to resolve the reporting issue.

Proactive Emails

- In late December, APPRISE sent each grantee an email to remind them of issues identified during the FY 2016 Module 1 (Grantee Survey) review.
- Emails were customized for each grantee to draw attention to topics where follow-up was required last year.
- Grantees are encouraged to review their FY 2017 data to ensure that these issues are addressed prior to submitting their final FY 2017 Performance Data Form.
 - This will minimize the time needed to revisit and revise your report after submission.

Reminder to Grantees Missing Pre-populated Data

- APPRISE e-mailed several grantees recently that initiated their FY 2017 forms prior to the *Sources of Funds* data being pre-populated.
- These grantees need to...
 1. Delete the current version of their FY 2017 Performance Data Form in OLDC.
 2. Re-initialize the form.
 3. Confirm that lines 1, 3, and 6 are pre-populated with the correct amount.
- Please contact APPRISE if you need assistance with this.

“Check Before You Submit” Document Overview

- The “Check Before You Submit” document is a new resource for LIHEAP grantees in FY 2017.
- This resource outlines many of the checks APPRISE uses during review of grantees’ Module 1 (Grantee Survey) data.
- Grantees are strongly encouraged to use the “Check Before You Submit” resource to proactively identify and correct any reporting issues before submission.
 - *Using this tool will reduce follow-up from APPRISE and the need to substantially revise reports after submission.*

“Check Before You Submit” Document

How to Use to Review Data

- Grantees should review all of the checks in the “Check Before You Submit” list. If grantees can answer “Yes” to all of the questions, they are ready to certify and submit the LIHEAP Grantee Survey.
- More complicated checks have longer explanations
 - ***Be sure to review the explanations that accompany each check to make sure you cover all aspects of the check.***
- “Check Before You Submit” Document was emailed by APPRISE in late December, and can also be found on the Performance Management website at:
[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)

Common Reporting Issues

Top 3 Issues Identified in FY 2016

- *Issue 1 - Completion of Line A5 in Section IV (Average Benefits by Fuel Type)*
- *Issue 2 - Poverty Threshold Inconsistencies*
- *Issue 3 - Reporting Emergency Furnace Repair/Replacement Funds*

Common Reporting Issue #1

Reporting Average Bill-Payment Assistance Benefits

- **13 grantees faced problems reporting the average annual total LIHEAP benefit per household.**
 - The average annual total LIHEAP benefit per household is reported in Line 5 of Section IV.
 - FY 2016 was the first year this data field was required.
 - The averages in this row should be based only on those households for whom the state was able to obtain 12 months of energy bill data, i.e. households used for Section B of Module 2 (Performance Measures).
 - The averages should include any heating, cooling, crisis, and supplemental assistance used to pay household energy bills.
 - This line should be equal to Line B1 of Section V of the Performance Data Form.
 - If you encounter any difficulties with calculating these averages, contact APPRISE for assistance.

Presenter(s):
Melissa Torgerson

Common Reporting Issue #2

Poverty Threshold Inconsistencies

- **12 grantees reported poverty thresholds that were inconsistent with the information in their Model Plans, or with the reporting instructions**
 - Grantees must report the maximum annual or annualized dollar income cutoff for a 4-person household that was in effect at the beginning of FY 2017 (October 1, 2016) for each type of assistance in their program.
 - But, If a program component began after the release of the 2017 HHS Federal Poverty Guidelines, the grantee may choose to report the cutoffs based on 2017 Guidelines.
 - Grantees who do this must add a note indicating that they used the 2017 Guidelines.
 - If you used multiple income cutoffs for different groups of households, report the lower cutoff in the line where the funding amount is reported.
 - Indicate what the other cutoffs are and the groups of households to which they apply in the “Notes” section.

Presenter(s):
Melissa Torgerson

Common Reporting Issue #3

Reporting Emergency Furnace Repair/Replacement Funds

- **9 grantees faced difficulties reporting funds for Emergency Furnace Repair and Replacement Funds**
 - Grantees with Emergency Furnace Repair and Replacement programs should report funding obligated to this component in its own line under “Other Crisis Assistance”.
 - Grantees need to type in Emergency Furnace Repair and Replacement in one of the “Other Crisis” lines.
 - Grantees also need to report average benefit and maximum annual income cutoffs for this program component.

d. Other Crisis Benefits:	\$1,015,039		
(1) Specify: Emergency Furnace Repair and Replacement	\$1,015,039	\$1,465	\$36,450
(2) Specify:	\$0	\$0	\$0
(3) Specify:	\$0	\$0	\$0

- Grantees should only report funds for Emergency Furnace Repair and Replacement as part of a different program component if they are unable to report the amount separately.
 - Grantees should add a note indicating which line contains the funding obligated to Emergency Furnace Repair and Replacement.

Final Reminders

Reporting Deadlines

- The Performance Data Form is currently in review by the Office of Management and Budget (OMB).
- Upon approval by OMB, HHS will publish an Action Transmittal with the final due date and instructions for accessing and submitting the form in OLDC.
- Although grantees cannot currently certify or submit their FY 2017 report in OLDC, grantees are encouraged to prepare information needed for their report.
- There are no changes from the FY 2016 Performance Data Form.

Final Reminders

Data Submission and Review

Submit – official submission to ACF

Form goes
forward

Certify – applies electronic signature

Validate – runs validation checks and updates automatic sums; saves data

Save - retains information

Form needs
editing

Final Reminders

Module 1 (Grantee Survey) Resources

- **“Check Before You Submit” Tool:**

[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)

- **FY 2016 Action Transmittal and Instructions (for reference)**

<https://www.acf.hhs.gov/ocs/resource/liheap-performance-data-form-for-fiscal-year-fy-2016>

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

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

Final Reminders

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

Final Reminders

Support Resources

OCS liaisons

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

APPRISE Team

- Daniel Bausch, Daniel-Bausch@appriseinc.org; 609-252-9050
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- Melissa Torgerson, melissa@verveassociates.net; 503-706-2647
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Final Reminders

Upcoming Webinars on Module 2 & Optional Model 3 (Performance Measures)

- **Webinar #1: Step-by-Step Overview of Module 2 (Performance Measures) & Optional Module 3**
 - Intended for new LIHEAP Directors and staff
 - 90 minute webinar with line-by-line guidance
 - **January 24 at 2 PM ET**

- **Webinar #2: Common Issues & Reminders for Module 2 (Performance Measures) & Optional Module 3**
 - Intended for all LIHEAP Directors and relevant staff
 - 30 minute webinar on common issues found in grantee reports
 - **January 31 at 3 PM ET**

Grantee Questions

Questions?

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