



Office of Temporary and Disability Assistance

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Local Commissioners Memorandum

Section 1

Transmittal:	16-LCM-11
To:	Social Services District Commissioners
Issuing Division/Office:	Center for Employment and Economic Supports
Date:	July 20, 2016
Subject:	2015-16 Home Energy Assistance Program (HEAP) Heating Equipment Clean and Tune Program
Contact Person(s):	HEAP Bureau (518) 473-0332
Attachments:	Attachment 1 – LDSS-5081 HEAP Heating Equipment Clean and Tune Request for Benefit Attachment 2 – LDSS-2642 Documentation Requirements Attachment 3 – LDSS-5082 HEAP Heating Equipment Clean and tune Notice of Eligibility Decision Attachment 4 – LDSS-5083 Heating Equipment Clean and Tune Services Invoice Attachment 5 – LDSS-5043 HEAP Vendor Refund Form Attachment 6 – 2015-2016 HEAP Clean and Tune Administrative Allocations
Attachment Available Online:	<input checked="" type="checkbox"/>

Section 2

I. Purpose

This is to provide local Social Service Districts (SSDs) with instructions on administering the 2015-2016 Home Energy Assistance Program (HEAP) Heating Equipment Clean and Tune benefit, including information on program dates, funding, eligibility requirements, processing and reporting timeframes. This benefit is administered under the Heating Equipment Repair and Replacement (HERR) component of the Home Energy Assistance Program.

II. Background

HEAP is a federally funded energy program intended to provide assistance to low income households to meet their immediate home energy needs. HEAP is comprised of several different benefits including the HEAP Heating Equipment Clean and Tune Program which provides assistance to a HEAP eligible household to have their primary heating system cleaned and tuned. No additional HEAP cash benefits are available.

III. Program Implications

Local SSDs must implement the HEAP Heating Equipment Clean and Tune Program as outlined below and in accordance with this LCM. Program requirements and eligibility criteria for the HEAP Heating Equipment Clean and Tune benefit must be met by qualifying households to receive a Heating Equipment Clean and Tune benefit and service.

The outreach target population is HEAP households that have received a repair or replacement benefit during the 2014-15 HEAP season through the Office of Temporary and Disability Assistance (OTDA), NYS Energy Research and Development Authority (NYSERDA)'s no-heat program or Homes and Community Renewal Weatherization Assistance Program. These recipients will receive an outreach letter from the OTDA HEAP Bureau notifying them of the 2015-16 HEAP Heating Equipment Clean and Tune Program; including how to apply, services available and who will provide these services.

We ask that SSDs inform clients you are in contact with who could benefit from a clean and tune of the availability of the 2015-16 Heating Equipment Clean and Tune Program.

A. Program Dates

SSDs must accept benefit requests for the HEAP Heating Equipment Clean and Tune Program beginning on Monday, August 1, 2016 through Friday, November 4, 2016, or until available funds are exhausted, whichever comes first. If the program closes before November 4, 2016, SSDs will be notified via the General Information System (GIS).

B. Application Requirements

- Households requesting this benefit must complete the Home Energy Assistance Program (HEAP) Heating Equipment Clean and Tune Request for Benefit form (LDSS-5081, Attachment 1).
 - If the applicant does not have an open and active HEAP, TA, or SNAP case (case type 11,12,16,17, 31 or 60), then a completed 2015-16 HEAP Application (LDSS-3421) will be required in addition to the LDSS-5081. SSDs must mark the HEAP Application as "Heating Equipment Clean and Tune" upon receipt.
 - Districts must use a case type 60 for approved applicants who do not have an open and active HEAP, TA or SNAP case.
- An authorized representative may request this benefit on behalf of the applicant. Page 4 of the LDSS-3421 HEAP Application may be used to assign an authorized representative. A dated and signed statement from the applicant authorizing the individual to request a Heating Equipment Clean and Tune benefit on their behalf is required if the authorized representative section of the HEAP Application is not completed.
- Applicants requesting a Heating Equipment Clean and Tune benefit who received a Regular HEAP benefit greater than \$35 during the 2015-16 HEAP season are not required to have an interview.
- Applicants requesting assistance for the Heating Equipment Clean and Tune benefit cannot apply online through myBenefits. Requests for benefits may be processed in myWorkspace.
- Any applicant who is denied may resubmit a request for benefit for the HEAP Heating Equipment Clean and Tune Program as long as requests for benefits are being accepted.

- Each LDSS-5081 and/or LDSS-3421 must be date-stamped upon receipt.

C. Eligibility Requirements

Applicants must meet all HEAP eligibility criteria in order to be eligible for the HEAP Heating Equipment Clean and Tune benefit. See the HEAP Manual, Chapter 7 – Basic Eligibility for specific eligibility criteria.

In addition to basic eligibility, all applicants for HEAP Heating Equipment Clean and Tune must meet the following criteria:

- The applicant must be the homeowner. An applicant attestation to home ownership may be accepted. SSDs may require documentation whenever there is reason to question the statement of homeownership.
- The primary heating equipment must be more than 12 months old
- The applicant's primary heating equipment must not have been cleaned within the past 12 months. The date is determined based on the month of application. For example a household who requests the benefit in August 2016, must not have had a furnace cleaning during or after August 2015.
- In cases where the primary heat source is wood (wood products), corn, or coal, the chimney must not have been cleaned within the past 12 months. For example a household who requests the benefit in August 2016, must not have had a chimney cleaning during or after August 2015.
- Applicants with service contracts that include clean and tune services are not eligible for a HEAP Heating Equipment Clean and Tune benefit.
- The household income must not exceed the established income guidelines for the 2015-16 heating season.

Households that received a 2015-16 Regular HEAP benefit in an amount of \$35.00 or less are not eligible for the Heating Equipment Clean and Tune benefit. However, such households who move into an eligible living situation may apply for this component using both the HEAP Heating System Clean & Tune Request for Benefit Form and the HEAP Application (LDSS-3421).

D. Documentation

Applicants must meet all HEAP documentation requirements in order to be eligible for the HEAP Heating Equipment Clean and Tune benefit.

- Applicants who apply using only the HEAP Heating Equipment Clean & Tune Request for Benefit form do not need to provide additional income documentation. However, the applicant is not eligible for income deeming if the household:
 - Monthly income increased by more than \$200,
 - Had a change in household composition, or
 - Changed their residence

- Applicants who request a benefit using both the HEAP Heating Equipment Clean and Tune Request for Benefit form and the HEAP Application must provide documentation of residence, identity for each household member, documentation of household income and a valid Social Security number for each household member.
- SSDs must use any permanent documentation available in the applicant's case record or within the agency if applicable.
- Applicants whose request for benefit is pended to provide required documentation must be provided the Documentation Requirements form (LDSS-2642, Attachment 2). A copy must be retained in the case record.
- Benefit requests may be pended for a maximum of 10 business days for documentation. If the applicant fails to provide the requested documentation by the due date, the benefit request must be denied.

E. Income Budgeting

SSDs must store a HEAP Emergency Benefit Type Automated Budgeting Eligibility Logic (ABEL) budget using Emergency Type G – 'Furnace Repair' to determine income eligibility for the HEAP Heating Equipment Clean and Tune benefit. This budget must be stored for all approvals and denials.

- The Heating Equipment Clean and Tune ABEL budget must contain all of the following:
 - Benefit Type E - Emergency
 - An application date of **08/01/2016**
 - Fuel Type
 - Household size
 - Categorical Eligibility Indicator
 - Vulnerable Indicator
 - Household gross income
 - Emergency type code G – 'Furnace Repair' (HEAP Heating Equipment Repair)

*Entry of the clean and tune benefit amount is optional.

F. Scope of Benefits and Specifications

HEAP Heating Equipment Clean and Tune benefits are to begin August 1, 2016 provided on a first come, first served basis to eligible households through November 4, 2016, or until all funding allocated to this component are exhausted, whichever comes first. The following is a listing of equipment, benefit limits, and services that are provided if an individual is found eligible for the HEAP Heating Equipment Clean and Tune benefit:

- Benefits must not exceed \$400 per household.
- Only one HEAP funded heating equipment clean and tune will be provided per eligible household.
- The clean and tune service must only be performed on the primary heating equipment.

- Vendors must charge the same rate for services performed for households not in receipt of HEAP.
- Vendors must obtain SSD approval for any repairs necessary, to ensure proper and safe operation of the heating equipment. Approved repairs in combination with the clean and tune service must not exceed \$400.
- The cost of work performed by the vendor for clean and tune services and the cost of related parts and repairs performed under HEAP are not subject to NYS sales tax.
- Vendors must provide services directly and may not contract out any portion of the work.
- Vendors will refer customers to the local Social Services District if at any point during the clean and tune service it is determined that the heating equipment is inoperable or unsafe to operate.
- A carbon monoxide detector must be installed if one is not present in the household.
- A programmable thermostat may be installed, with client consent, if one is not already present in the household.

G. Temporary Assistance

Individuals whose heating equipment repair or replacement needs cannot be met through the HEAP Heating Equipment Clean and Tune Program, or who have been found ineligible through HEAP may, if they apply and are found eligible, have their needs met under Family Assistance (FA), Safety Net Assistance (SNA), Emergency Assistance to Families (EAF), Emergency Safety Net Assistance (ESNA), or Emergency Assistance for Adults (EAA). Department Regulations 18 NYCRR 352.4(d), 352.6(e), 352.7(b), 372.4(b) and 397.5(h) provide SSDs the ability to meet the costs necessary for the repair or replacement of essential heating equipment if the repair or replacement is essential to the health and safety of the household. For more information, see the Temporary Assistance Sourcebook, chapter 16, section C, Equipment Repairs.

In accordance with 18 NYCRR 352.23, using and pursuing available resources is a condition of TA eligibility. Available resources for heating equipment repair or replacement may include programs such as NYSERDA's EMPOWER program. For details, go to:

<http://www.nyserda.ny.gov/All-Programs/Programs/EmPower-New-York> or call Empower at 1-866-NYSERDA.

H. Processing Timeframes and Client Notification

SSDs must determine an applicant's eligibility for the HEAP Heating Equipment Clean and Tune within 30 business days of receipt of the completed HEAP Heating Equipment Clean and Tune Request for Benefit Form and/or the HEAP Application. Requests for Heating Equipment Clean and Tune benefits may be pended for missing/additional information for up to a total of 10 business days if necessary.

Approval and denial notices through CNS are not currently available for this program. The HEAP Bureau is working towards CNS support for future use. Manual notices must be used for approvals and denials for the Heating Equipment Clean and Tune benefit. SSDs must provide

recipients with a completed HEAP Heating Equipment Clean and Tune Notice of Eligibility Decision (LDSS-5082, Attachment 3). SSDs must complete the approval or denial portion of HEAP Clean and Tune Notice of Eligibility Decision (LDSS-5082) and mail it to the household. Applicants must be provided written notice of the eligibility decision made on the request for benefit for the HEAP Heating Equipment Clean and Tune program no later than 30 business days from the date of receipt of the final vendor invoice for payment.

- Approval notices must contain the vendor name, and customer account number.
 - If the vendor does not use customer account numbers, SSDs must enter the client's case number or the vendor's invoice number. WMS Screen 6 VND/ACCT field (Vendor ID field on the 3209) must be utilized for all clean and tune benefits.
- When denying a benefit request on a new applicant household (case type 60), SSDs must place an N in the CNS Notice Indicator and use a HEAP denial code of Y99.
- A copy of all notices must be retained in the case record for 10 years.
- All HEAP Heating Equipment Clean and Tune denials processed by October 15, 2016 must be reported by that date on the 2015-16 HEAP Denied Applicant Report under furnace repair. SSD's must provide an updated denial report by November 15, 2016 for any Heating Equipment Clean and Tune benefit requests denied after October 15, 2016.

I. Vendor Participation

All vendors who wish to participate must have a signed HEAP Heating Equipment Repair and Replacement Vendor Agreement on file with the New York State Office of Temporary and Disability Assistance (OTDA) HEAP Bureau. In addition, the vendor must have indicated that they will participate in OTDA's Clean and Tune Services Program. All vendors that previously selected the Clean and Tune Services option on their HERR Vendor Agreement will only have to complete the HEAP Clean and Tune Vendor Participation Form to confirm that the vendor is still interested in providing this service to HEAP customers. If a vendor does not currently have this option selected on their vendor agreement, the vendor may contact the NYSHEAP Bureau and complete a HEAP Vendor Change Form to update their current vendor agreement.

Each SSD can find a list of all its HEAP Heating Equipment Clean and Tune participating vendors in the HEAP Participating Vendor list found in CentraPort. This list is updated on a daily basis and SSDs should check this list prior to authorizing a benefit. This list is provided to those applicants requesting a Heating Equipment Clean and Tune benefit that do not have a vendor or may need to switch to a participating Heating Equipment Clean and Tune vendor. Vendors who contact SSDs to participate in the HEAP Heating Equipment Clean and Tune must be instructed to contact the OTDA HEAP Bureau at (518) 473-0332 or 1-866-270-HEAP (4327).

OTDA will be hosting a series of conference calls to provide additional information to participating vendors. SSDs are encouraged, but not required to participate. A schedule of vendor conference calls and call details will be sent under a separate cover.

J. Heating Equipment Clean and Tune Service Scheduling

Participating HEAP Heating Equipment Clean and Tune vendors are responsible for contacting an eligible household to schedule services. If a vendor cannot schedule a clean and tune service with the household within 10 business days of the referral, the vendor must notify the SSD. The SSD must then send the household a copy of the Documentation Requirements form with the "Other" box checked and the following language, "(vendor name) tried to contact

you regarding the HEAP Heating Equipment Clean and Tune, but was unsuccessful. Please contact us by (date) to resolve this.”

If the client does not contact either the SSD or the vendor within the 10 day pending period to arrange for a clean and tune of the primary heating equipment, then a HEAP Heating Equipment Clean and Tune Notice of Eligibility Decision must be sent. The box for “you failed to provide the following information,” is checked and the following language inserted “you failed to make arrangements for clean and tune services of your heating equipment by the due date of (date).”

K. HEAP Heating Equipment Clean and Tune Services Invoice (LDSS-5083)

The HEAP Heating Equipment Clean and Tune Services Invoice (LDSS-5083, Attachment 4), is used by both the SSD and by the vendor.

SSDs use this form to notify a vendor that an individual is approved for services. SSDs must complete the following sections:

- Customer contact section is to be completed by the SSD and is used to communicate customer information to the vendor.
- Once a household is approved, the SSD must provide the vendor with the eligible household’s name, address and contact information. A copy of the HEAP Heating Equipment Clean and Tune Services Invoice must be used for this purpose.

In order to receive payment, vendors must return the completed services invoice to the SSD, with client signature.

- The sections to be completed prior to returning to the SSD are:
 - The Services Provided checklist to identify services performed by the vendor.
 - The Customer Section to be completed by the client to attest that services have been completed; and
 - The Vendor Use section with total amount for the clean and tune services, including parts, cost, and labor. This section must be signed and dated by the technician.
- Vendors must perform the clean and tune services according to the specified industry standards and as outlined in the HEAP Heating Equipment Clean and Tune Services Invoice (LDSS-5083).

L. Payment and Authorizations

SSDs must not authorize any HEAP Heating Equipment Clean and Tune payments to vendors prior to the HEAP Heating Equipment Clean and Tune Program opening on August 1, 2016.

Vendors must submit a completed HEAP Heating Equipment Clean and Tune Services Invoice (LDSS-5083) to SSDs in order for a payment to be authorized. Payments to vendors must not exceed \$400 per benefit.

All HEAP Heating Equipment Clean and Tune payments are authorized by the SSDs through WMS or myWorkspace using payment type J3. These payments must be issued on a case type 60 (HEAP only) or an appropriate TA or SNAP case type.

As a result of changes to §179-f of the State Finance Law, HEAP vendor payments to small businesses for the HEAP Heating Equipment Clean and Tune must be paid within 15 calendar days of receipt of an invoice, excluding legal holidays. Be sure all HEAP invoices are date stamped when they are received. Please refer to GIS 16 TA/DC023 regarding the amendment to State Finance Law §179-f for further information.

As with all vendor direct payments for districts outside New York City, HEAP Heating Equipment Clean and Tune payments will be issued by the New York State Office of the State Comptroller (OSC) through the Statewide Financial System (SFS) payment process. Any vendor wishing to refund a benefit to the SSD must use the revised Vendor Refund form (LDSS-5043, Attachment 5). The form includes the HEAP Heating Equipment Clean and Tune recipient information, payments received by the vendor, and the amount refunded to the SSD. All HEAP refunds (including local district related HEAP refunds and HEAP OSC refunds) will be processed using CAMS (Cash Management System) cash receipts.

Refer to the HEAP Manual, Chapter 22 – Payments/Statewide Financial System and the BICS Indirect Payment Processing Sub-System (IPPS) Manual - Appendix H for more information regarding the HEAP OSC/SFS Payment Process and HEAP refunds. The IPPS Manual can be found at: http://otda.state.ny.net/bfdm/finance/IPPS_Manual.asp

M. Payment Type and System Requirements:

The Payment Type used to authorize a HEAP Heating Equipment Clean and Tune benefit is J3 – ‘HEAP Clean and Tune’ and can be processed in either WMS or myWorkspace. This pay type does not require the payment amount to match the benefit amount on the stored ABEL budget and will currently not produce a CNS notice.

In order to write a payline with a J3 Payment Type SSDs must follow these rules:

- Only Case Types 11, 12, 16, 17, 31, and 60 may be used
- Payment Type J3 is valid with all Transaction Types except 03 – Denial
- CNS Notice Indicator must equal N
- Only two Methods of Payment may be used – either 02 (Vendor as Authorized) or 04 (Vendor as Bill Subject to Limit)
- Special Claiming Code H must be used
- The payment line service period must be from 8/1/16-9/30/16 for all payments made for the 2015-16 Heating Equipment Clean and Tune Program
- From-to-dates must always be 8/1/16-9/30/16
- EMPLOYER NO/SSN appears in the BICS vendor record and must consist of nine non-equal numeric digits (for example, digits cannot be all zeroes or all nines)
- A valid Customer Account Number (cannot be blank or inactive)
- Valid SFS Vendor data

Vendor Direct Payline Example

LN	ACT	Pay Typ	Meth Pay	Amount	Iss	Pay Sch	P-U Cd	Effective From	To	Ind LN	Clm Cd	Vend Id
01	2	J3	02	400.00	2		1	080116	093016		H	AC SERV
02												
03												
Energy Rst HVnd/Acct Replace LN			CHK/FSB				LN		Vnd/Acct CHK/FSB	ACSERV		1234

N. SSD Reporting Requirements

SSDs will be required to submit the number of Pending HEAP Heating Equipment Clean and Tune benefit requests weekly using the established HEAP Pending Case Report under Furnace Repair. SSDs must include Heating Equipment Clean and Tunes cases that fall into the following categories:

- Heating Equipment Clean and Tune request for benefits that have been received, but do not have a transaction through WMS or myWorkspace (either a payment or denial transaction).
- Cases that are waiting for an interview or documentation and/or have not had eligibility determined.
- Cases where eligibility has been determined, but WMS or myWorkspace transaction has not yet been completed.
- Heating Equipment Clean and Tune request for benefits awaiting processing at the Alternate Certifier.

Due to the limited funding for the HEAP Heating Equipment Clean and Tune, it is essential that OTDA track pending expenditures. SSDs must continue to complete the HEAP Pending Case Report on a weekly basis. The report will continue to be available until close of business (COB) every Tuesday. SSDs must start submitting HEAP Heating Equipment Clean and Tune pending applications beginning on Friday, August 5, 2016 and will be instructed to continue to do so until notified via GIS that the program is closing.

To access the HEAP Pending Report in eReports, go to CentraPort:
<https://centraport.otda.state.nyenet/centraport>

- On the left side under Links, expand the Applications menu
- Third from the bottom of the list, select eReports
- Select the HEAP Pending Case Report
- To log all pending applications select the current date from the dropdown box and click the "Find" button
- Enter the number of pending Regular, Emergency, Furnace Repair, Furnace Replacement, Supplemental, and Cooling Assistance benefit applications that are currently pending in

the applicable box

- If no applications are pending in the Heating Equipment Clean and Tune program, please enter a “0” in that field
- Click “Submit” and then “Ok” to complete the form

SSDs who fail to submit their pending requests in the HEAP Pending Case Report by COB Fridays will receive a computer generated message on Monday reminding them to submit the report. Failure to submit the report by COB Monday will result in a computer generated email reminder on Tuesday, as well.

SSDs who do not submit their HEAP Pending Case Report by COB Tuesday may email Emily Urban with their pending numbers at Emily.Urban@otda.ny.gov.

Each SSD must have at least one person designated to submit data to the HEAP Pending Case Report and Erroneous Payment Report. If SSDs have any changes in their designee(s), please provide Emily Urban with identifying information for the person or persons who should have access to these reports: (a) Name; (b) User ID; (c) e-mail address; (d) phone number; and (e) fax number. Changes can be e-mailed to Emily.Urban@otda.ny.gov. Please contact Emily Urban with any questions at (518) 473-0332.

O. Fair Hearings

Applicants for and recipients of HEAP Heating Equipment Clean and Tune benefits may seek review of their eligibility determination at an administrative fair hearing, as authorized under 18 NYCRR Parts 393.5 and 358.

P. Forms Information

All forms used to administer the HEAP Heating Equipment Clean and Tune Program have been revised for the 2015-16 program year. Upon the release of this LCM, all forms with a revision date prior to 6/16 are now obsolete and **must be destroyed immediately**, with the exception of the LDSS-3421.

The English versions of the *LDSS-5081: “HEAP Heating Equipment Clean and Tune Request for Benefit”*, *LDSS-5082: “HEAP Heating Equipment Clean and Tune Notice of Eligibility Decision”* and the *LDSS-5083: “Heating Equipment Clean and Tune Services Invoice”* are Camera Ready Only forms.

The above referenced documents will be posted as of July 25, 2016 on the OTDA Intranet website at http://otda.state.ny.net/ldss_eforms/default.htm and will be available for downloading by local social services districts for reproduction locally as needed.

Any future requests for master camera ready copies of the English version, should be submitted to the New York State Office of Temporary and Disability Assistance (OTDA) using either the OTDA 876EL (DOC) or OTDA 876 EL (PDF) available at the link above and either mail, email or fax to:

Office of Temporary and Disability Assistance
BMS Document Services and Operational Support
PO Box 1990
Albany, NY 12201

E-mail: forms.orders@otda.ny.gov, Fax: (518) 402-0084
Social Services Districts (SSD) online forms ordering system: <http://formorders/>

Questions concerning ordering forms should be directed to BMS Document Services at (518) 474-9522.

Any previously approved Local Equivalent of these forms should be resubmitted, reflecting the current updates, to the mailing address above for review and approval.

Q. Funding/Administrative Funds

A total of \$2.0M has been authorized for the 2015-16 HEAP Heating Equipment Clean and Tune Program. SSDs will be provided with additional administrative funds to operate this component. Administrative funds are to be used to meet staffing and operational needs of SSDs for the 2015-16 HEAP Heating Equipment Clean and Tune Program. Acceptable uses of administrative funds include, but are not limited to, staff salaries, staff overtime, temporary staff costs, fringe benefits, indirect costs, and equipment purchases to aid in the administration of the program.

As in the past, reimbursement of administrative costs in excess of your allocation cannot be guaranteed. Administrative costs incurred on and after October 1, 2015 may be charged against the 2015-16 allocation. The HEAP Heating Equipment Clean and Tune administrative funds will be added to your 2015-16 administrative allocation. These funds must be obligated by September 30, 2016 and claimed by December 31, 2016. Unclaimed funds cannot be rolled into the 2016-17 administrative allocation. A chart listing each SSD's administrative allocation is found in Attachment 6.

R. Phone Conference

The HEAP Bureau has scheduled two conference calls to provide SSDs updated information on the 2015-16 HEAP Heating Equipment Clean and Tune Program to answer any questions. Information regarding these conference calls will be sent to local district HEAP Coordinators under a separate cover.

Issued By

Name: Phyllis Morris

Title: Deputy Commissioner

Division/Office: Center for Employment and Economic Supports