



Office of Temporary and Disability Assistance

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Local Commissioners Memorandum

Section 1

Transmittal:	18-LCM-06
To:	Social Services District Commissioners
Issuing Division/Office:	Integrated Family Assistance Programs / Employment and Income Support Programs
Date:	April 3, 2018
Subject:	2017-18 Home Energy Assistance Program (HEAP) Heating Equipment Clean and Tune Benefit
Contact Person(s):	HEAP Bureau at: (518) 473-0332 Finance at: (518) 474-7549
Attachments:	Attachment 1 – HEAP Heating Equipment Clean and Tune Request for Benefits (LDSS-5081) Attachment 2 – Documentation Requirements (LDSS-2642) Attachment 3 – HEAP Heating Equipment Clean and Tune Notice of Eligibility Decision (LDSS-5082) Attachment 4 – Heating Equipment Clean and Tune Services Invoice (LDSS-5083) Attachment 5 – HEAP Vendor Refund Form (LDSS-5043)
Attachment Available Online:	<input checked="" type="checkbox"/>

Section 2

I. Purpose

This is to provide local social service districts (districts) with instructions on administering the 2017-18 Home Energy Assistance Program (HEAP) Heating Equipment Clean and Tune benefit, including information on dates, funding, eligibility requirements, processing and reporting timeframes for this benefit.

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 five benefits including the Heating Equipment Clean and Tune benefit which provides assistance to HEAP eligible applicant households to have their primary heating system cleaned and tuned. No additional HEAP cash benefits are available.

III. Program Implications

Districts must implement the Heating Equipment Clean and Tune benefit as outlined below and in accordance with this Local Commissioners Memorandum (LCM). Benefit requirements and

eligibility criteria for the HEAP Heating Equipment Clean and Tune benefit must be met by qualifying applicants 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 2016-17 HEAP season through the Office of Temporary and Disability Assistance (OTDA), New York State Energy Research and Development Authority (NYSERDA)'s EmPower program or Homes and Community Renewal (HCR)'s Weatherization Assistance Program. These recipients will receive an outreach letter from the OTDA HEAP Bureau notifying them of the 2017-18 HEAP Heating Equipment Clean and Tune benefit; including how to apply, services available and who will provide these services.

OTDA requests that districts perform outreach and inform potentially eligible clients of the availability of the 2017-18 Heating Equipment Clean and Tune benefit.

A. Program Dates

Applications for Heating Equipment Clean and Tune benefits must be accepted as of **Monday, April 2, 2018**. Benefits will be provided on a first come, first served basis to eligible applicants through Friday, November 2, 2018, or until all funds allocated to this component are exhausted. If the dates of operation are revised, districts will be notified via the General Information System (GIS).

B. Application Requirements

Applicants requesting this benefit must complete the HEAP Heating Equipment Clean and Tune Request for Benefit ([LDSS-5081](#), Attachment 1). Applicants who do not have an open and active HEAP, Temporary Assistance (TA), or Supplemental Nutrition Assistance Program (SNAP) case (case type 11,12,16,17, 31 or 60) must complete the 2017-18 HEAP Application (Rev. 5/17) ([LDSS-3421](#)), in addition to the Heating Equipment Clean and Tune Request for Benefit (LDSS-5081). Districts must check the box "Clean and Tune" in the agency use section on page one of the HEAP Application upon receipt.

- Applicants who do not have an open and active HEAP, TA, or SNAP case must have their benefit issued on a case type 60.
- Each HEAP Application (LDSS-3421) and/or HEAP Heating Equipment Clean and Tune Request for Benefit (LDSS-5081) must be date-stamped upon receipt.
- An authorized representative or individual with power of attorney may request this benefit on behalf of the applicant. Page 4 of the HEAP Application (LDSS-3421) 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 (LDSS-3421) is not completed.
- Applicants requesting assistance for the Heating Equipment Clean and Tune benefit cannot apply online through myBenefits.
- Clean and Tune benefits may be processed in myWorkspace.
- Applicants who are denied may reapply for the Clean and Tune benefit.

- Applicants requesting a Heating Equipment Clean and Tune benefit who received a Regular HEAP benefit greater than \$35 during the 2017-18 HEAP season are not required to have an interview. All other applicants must have an interview.
- Interviews may be completed either by phone or in person.

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 Heating Equipment Clean and Tune must meet the following criteria:

- The household income must not exceed the established income guidelines for the 2017-18 heating season.
- The applicant must be the homeowner. An applicant attestation to homeownership may be accepted. Districts must require documentation whenever there is reason to question the statement of homeownership.
- The applicant for Clean and Tune must have been the homeowner of the property for the 12 months prior to the month of application.
- The applicant must have resided in the dwelling for the 12 months prior to the month of application.
- The dwelling must be the applicant's primary residence. Roadworthy trailers or mobile homes registered with the Department of Motor Vehicles are not considered permanent primary residences.
- The applicant's dwelling must be in compliance with local building and safety codes, must not be in condemned status, and must be safe and structurally sound. The dwelling must not be considered unsafe and/or unfit for habitation.
- The applicant must not have a signed sales contract to sell the dwelling for which they are applying for assistance.
- Eligibility for applicants whose dwelling is in the process of foreclosure or for sale on the open market must be assessed on a case-by-case basis to determine when and if the premises will actually be vacated by the applicant.
- The primary heating equipment must be older than 12 months prior to the month of application.
- The applicant's primary heating equipment must not have been cleaned within the past 12 months prior to the month of application.
- In cases where the primary heat source is wood or wood products, the chimney must not have been cleaned within the past 12 months prior to the month of application.
- Applicants with service contracts that include clean and tune services are not eligible.

Applicants that received a 2017-18 Regular HEAP benefit in an amount of \$35 or less are not eligible for the Heating Equipment Clean and Tune benefit. However, such applicants who move into an eligible living situation may apply for this benefit using both the HEAP Heating Equipment Clean and Tune Request for Benefit ([LDSS-5081](#)) and the HEAP Application ([LDSS-3421](#)).

D. Documentation

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

Applicants who received a current HEAP season benefit do not need to provide additional income documentation.

- Applicants who do not have an open and active HEAP, TA or SNAP case must provide documentation of residence, identity for each household member, documentation of household income and a valid Social Security Number for each household member.
- Districts must use any permanent documentation available in the applicant's case record or within the agency.
- Applicants whose request for benefit is pended for provision of documentation necessary to determine eligibility must be provided the Documentation Requirements form ([LDSS-2642](#), Attachment 2). A copy must be retained in the case record.
- Districts may pend an application for assistance for a maximum of ten business days. If the applicant fails to provide the requested documentation by the due date, the benefit request must be denied.

E. Income Budgeting

Districts 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 Heating Equipment Clean and Tune benefit. This budget must be stored for all approvals and denials for excess income.

The Heating Equipment Clean and Tune ABEL budget must contain all of the following*:

- Benefit Type E – Emergency
- An application from date of 04/02/2018 or greater
- An application to date of 09/30/2018
- 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

If an applicant is determined eligible for the Heating Equipment Clean and Tune benefit, the following guidelines must be followed:

- Benefits must not exceed \$400.
- Only one Heating Equipment Clean and Tune benefit will be provided.
- The clean and tune service must only be performed on the primary heating equipment.
- Vendors must charge the same rate for clean and tune services performed as charged for households not in receipt of HEAP.
- If any repairs are necessary to ensure the proper and safe operation of the heating equipment, vendors must obtain approval from the district prior to completing this work. 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 New York state sales tax.
- Vendors must provide services directly and may not contract out any portion of the work.
- **Prior to beginning any clean and tune work, the vendor must determine that the heating equipment is operable and safe to operate.**
- **Vendors must not complete a clean and tune service if it is determined that the heating equipment is inoperable or unsafe to operate.**
- **Vendors must notify both the customer and the 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 dwelling, or if the current carbon monoxide detector in the dwelling is inoperable or over five years old.
- A programmable thermostat may be installed, with client consent, if one is not present in the dwelling provided sufficient funds are available following completion of the clean and tune and all necessary minor repairs.

G. Referrals and Temporary Assistance

Individuals referred to the district due to inoperable or unsafe heating equipment should be directed to apply to have their heating equipment repaired or replaced through the Heating Equipment Repair and Replacement (HERR) component, if that component is open.

Individuals whose heating equipment repair or replacement needs cannot be met through the HEAP Heating Equipment Clean and Tune benefit, HERR, or who have been found ineligible through HEAP may, if they apply and are found eligible, have their needs met

through Temporary Assistance (TA) 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 districts 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.

H. Processing Timeframes and Client Notification

The district must determine an applicant's eligibility for the Heating Equipment Clean and Tune benefit within 30 business days of receipt of the completed HEAP Application ([LDSS-3421](#)) and/or Heating Equipment Clean and Tune Request for Benefit ([LDSS-5081](#)). Requests for Heating Equipment Clean and Tune benefits may be pended for missing or additional documentation necessary to determine eligibility for up to 10 business days if necessary. If the applicant fails to provide the requested documentation by the due date, the benefit request must be denied.

Approval and denial notices through the Client Notice System (CNS) are available for this benefit. The denial reason code **M14 "Clean and Tune Denial"** has been added for the 2017-2018 season.

Applicants must be provided an appropriate notice of the eligibility decision made on the request for the HEAP Heating Equipment Clean and Tune benefit no later than 30 business days from the date of receipt of the final vendor invoice for payment. A copy of all notices must be retained in the case record for 6 years including the current program year.

If the vendor does not use customer account numbers, districts must use the client's case number or the vendor's invoice number. Welfare Management System (WMS) Screen 6 VND/ACCT field (Vendor ID field on the 3209) must be utilized for all Clean and Tune benefits.

Manual notices must be used for the approval and denial of Heating Equipment Clean and Tune benefits when CNS is not available. Districts must provide recipients with a completed HEAP Heating Equipment Clean and Tune Notice of Eligibility Decision ([LDSS-5082](#), Attachment 3) when using a manual notice for the Clean and Tune benefit.

All manual Heating Equipment Clean and Tune denials that are not processed through WMS or myWorkspace must be reported on the 2017-18 HEAP Denied Applicant Report under Clean and Tune.

I. Vendor Participation

All HEAP Clean and Tune service vendors must have a signed HEAP Heating Equipment Repair and Replacement Vendor Agreement on file with the OTDA HEAP Bureau. In addition, the vendor must have indicated that they will participate in providing clean and tune services. If a vendor does not currently have this option selected on their vendor agreement or would like to initiate participation, the vendor may contact the HEAP Bureau at: (518) 473-0332 or 1-866-270-HEAP (4327). Each district can find a list of all its participating Heating Equipment Clean and Tune vendors in the HEAP Participating Vendor listing found in [CentraPort](#). This list is updated daily and must be provided to applicants who need to choose a vendor. Districts must confirm vendor participation using this list prior to authorizing a benefit.

OTDA will be hosting a series of conference calls to provide additional information to participating vendors. Districts 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 applicant to schedule services. If a vendor cannot schedule a clean and tune service with the applicant within ten business days of the referral, the vendor must notify the district. The district must then send the applicant a Documentation Requirements form ([LDSS-2642](#)) with the “Other” box checked and the following language, “(vendor name) attempted to contact you to schedule the HEAP Heating Equipment Clean and Tune, but was unsuccessful. Please contact us by (date) to resolve this”.

If the applicant does not contact the district within the ten-business day pending period to arrange for a clean and tune of their primary heating equipment, then a HEAP Heating Equipment Clean and Tune CNS or manual ([LDSS-5082](#)) Notice of Decision must be sent citing “you failed to provide the following information,” and the following language must be 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 district and by the vendor.

Districts use this form to notify a vendor that an individual is approved for clean and tune services. Once an applicant is approved, districts must provide the vendor with the eligible applicant’s name, address and contact information by completing the Customer Contact Section of the HEAP Heating Equipment Clean and Tune Services Invoice (LDSS-5083).

In order to receive payment, vendors must return the completed HEAP Heating Equipment Clean and Tune Services Invoice (LDSS-5083) to the district, with the applicant’s signature. The following sections of the invoice must be completed prior to returning to the district:

- Services Provided Checklist
 - The vendor must answer each question to identify services performed.
- Customer Section
 - This section is to be completed by the applicant to attest that services have been completed.
- Vendor Use Section
 - The vendor must indicate the 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](#)).

Once the vendor returns the completed HEAP Heating Equipment Clean and Tune Services Invoice ([LDSS-5083](#)), the district must complete the Agency Use Section on page 3 of this form.

Districts must contact the recipient to confirm the satisfactory completion of the clean and tune services, including minor repairs, the installation of carbon monoxide detectors and thermostats, if applicable, operation of the heating unit, and the condition of the dwelling upon job completion prior to authorizing payment for Clean and Tune benefits.

L. Payment and Authorizations

Districts must not authorize any Heating Equipment Clean and Tune payments to vendors prior to the Heating Equipment Clean and Tune program opening on April 2, 2018.

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

HEAP Heating Equipment Clean and Tune payments are authorized either 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. Districts need to ensure that all HEAP invoices are date stamped when upon receipt. Please refer to [GIS 16 TA/DC023](#) regarding the amendment to State Finance Law §179-f for further information.

Vendor direct payments for clean and tune services for districts outside New York City will be issued by the New York State Office of the State Comptroller (OSC) through the Statewide Financial System (SFS) payment process. All partial payment vendor refunds to districts must be accompanied by the Vendor Refund form ([LDSS-5043](#), Attachment 5). This form includes the HEAP Heating Equipment Clean and Tune recipient information, payments received by the vendor, and the amount refunded to the district. All HEAP refunds (including local district related HEAP refunds and HEAP OSC refunds) must be processed using Cash Management System (CAMS) cash receipts.

M. Payment Type and System Requirements

The Payment Type used to authorize a 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 produce a CNS notice.

In order to write a pay line with a J3 Payment Type districts 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

- 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 the application date of 4/2/18 or greater through 9/30/18 for all payments made for the 2017-18 Heating Equipment Clean and Tune benefit
- From-to-dates must always be the application date of 4/2/18 or greater through 9/30/18
- For all applications received and/or processed after 9/30/18 the from to dates must be 9/30/18 - 9/30/18
- 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	Clim Cd	Vend Id
01	2	J3	02	400.00	2		1	040218	093018		H	AC SERV
02												
03												
Energy Rst HVnd/Acct Replace LN												
			CHK/FSB				LN			Vnd/Acct	ACSERV	1234
										CHK/FSB		

- The account type associated with the customer account number should be 04 (Non-Utility).
- With the use of account type 04, you need to **NOT** have a commodity code of 05 on the vendor record. Most of the vendors associated with the clean and tune payments have both 04 and 05 commodity codes on the vendor record. To allow for J3 payments to voucher, the district should remove commodity code 05 from the vendor record, and update the customer account number with account type 04. After the J3 payment appears on a voucher, the commodity code 05 could be added back to the vendor record.
- Please refer to the following information from the Benefit Issuance and Control System (BICS) Indirect Payment Processing Sub-System (IPPS) Manual. The BICS IPPS manual can be accessed at: http://otda.state.ny.net/bfdm/finance/IPPS_Manual.asp.

Customer Account Number Errors

LAC005019	Error	VENDOR NOT UTIL FOR ACT ACT TYPE X	If the account type is 0, 1, 2, or 3, the vendor must have a commodity code = 05.
LAC005020	Error	VEND-UTIL, NON-UTIL ACT TYPE 4	If the account type is 4, the vendor must not have a commodity code of 05 (utility).

The following procedures should be used to enter a valid CAN in BICS Accounts:

- In the LDMIP Menu, choose the Accounts Menu (LACMNU) (Selection 10) and transmit.
- In the Accounts Menu (LACMNU), choose the Customer Account Number maintenance (LAC005) screen (Selection 05) and transmit.
- In the Customer Account Number Maintenance (LAC005) screen, enter vendor ID, case number, account number, and transmit. The system returns the detail entry screen.
 - The Account Effective Date must be less than the TO-date of the pay line.
 - The Account Status must equal a "1" Active or "4" Reactivated.
 - The Account Type must be valid for the pay type chosen.
 - The Multiple Account Indicator can NOT equal 1 (multiple account).

N. Social Services District Reporting Requirements

Districts 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 in [eReports](#). Districts must start reporting HEAP Heating Equipment Clean and Tune pending applications beginning on Friday, April 6, 2018.

Districts must include Heating Equipment Clean and Tune 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 either 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 a WMS or myWorkspace payment authorization transaction has not yet been completed.
- Heating Equipment Clean and Tune request for benefits awaiting district certification at Alternate Certifiers.

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

Each district must have at least one person designated to submit data to the HEAP Pending Case Report. If districts have any changes in their designee(s), please provide the HEAP Bureau with identifying information for the person or persons who should have access to these reports: (a) Name; (b) User ID; (c) e-mail address; and, (d) phone number. Changes can be e-mailed to Emily Urban or Anna Vitolins.

Please contact Emily Urban or Anna Vitolins 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 393.5 and 358.

P. Forms Information

All forms used to administer Clean and Tune will remain the same for the 2017-18 program year including the HEAP Application ([LDSS-3421](#)) and Documentation Requirements form ([LDSS-2642](#)). All current Clean and Tune forms have a revision date of 5/17.

All Clean and Tune forms should be ordered by the districts as needed. Districts may also access electronic forms for download and printing at: http://otda.state.ny.net/ldss_eforms/. Questions concerning ordering forms should be directed to the OTDA Bureau of Management Services Document Services at: (518) 474-9522.

Districts with previously approved local equivalent waivers for Clean and Tune forms may continue use of these forms for the 2017-18 program year.

Q. Funding/Administrative Funds

A total of \$2 million has been allocated for the 2017-18 Heating Equipment Clean and Tune benefit. Districts will be provided with additional administrative funds to operate this component. Administrative funds are to be used to meet the district's staffing and operational costs incurred by 9/30/18 for the 2017-18 HEAP Heating Equipment Clean and Tune benefit. Information regarding these allocations will be sent under separate cover.

R. Phone Conferences

The HEAP Bureau has scheduled two conference calls to provide districts updated information on the 2017-18 Heating Equipment Clean and Tune Program, and to answer any questions. Information regarding these conference calls will be sent under separate cover.

Issued By

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