

LOW INCOME HOME ENERGY ASSISTANCE PROGRAM (LIHEAP)
STATE PLAN
PUBLIC LAW 97-35, AS AMENDED
FISCAL YEAR (FY) 2012

GRANTEE: New York State Office of Temporary and Disability Assistance (NYS OTDA)

EIN: 1-14-601-3200-K1

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PLEASE CHECK ONE: TRIBE STATE INSULAR AREA

Department of Health and Human Services
Administration for Children and Families
Office of Community Services
Washington, DC 20447

August 1987, revised 05/92, 02/95, 03/96, 12/98, 11/01
OMB Approval No. 0970-0075
Expiration Date: 9/30/2012

THE PAPERWORK REDUCTION ACT OF 1995 (Pub. L. 104-13)

Use of this model plan is optional. However, the information requested is required in order to receive a Low Income Home Energy Assistance Program (LIHEAP) grant in years in which the grantee is not permitted to file an abbreviated plan. Public reporting burden for this collection of information is estimated to average 1 hour per response, including the time for reviewing instructions, gathering and maintaining the data needed, and reviewing the collection of information. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.

GRANTEE: New York State Office of Temporary and Disability Assistance (NYS OTDA)

FFY: 2012

Assurances

The New York State Office of Temporary and Disability Assistance (NYS OTDA) agrees to:

(1) Use the funds available under this title to--

- (A) conduct outreach activities and provide assistance to low income households in meeting their home energy costs, particularly those with the lowest incomes that pay a high proportion of household income for home energy, consistent with paragraph (5);
- (B) intervene in energy crisis situations;
- (C) provide low-cost residential weatherization and other cost-effective energy-related home repair; and
- (D) plan, develop, and administer the State's program under this title including leveraging programs,

and the State agrees not to use such funds for any purposes other than those specified in this title;

(2) Make payments under this title only with respect to--

- (A) households in which one or more individuals are receiving--
 - (i) assistance under the State program funded under part A of title IV of the Social Security Act;
 - (ii) supplemental security income payments under title XVI of the Social Security Act;
 - (iii) food stamps under the Food Stamp Act of 1977; or
 - (iv) payments under section 415, 521, 541, or 542 of title 38, United States Code, or under section 306 of the Veterans' and Survivors' Pension Improvement Act of 1978; or
- (B) households with incomes which do not exceed the greater of—
 - (i) an amount equal to 150 percent of the poverty level for such State; or
 - (ii) an amount equal to 60 percent of the State median income;

except that a State may not exclude a household from eligibility in a fiscal year solely on the basis of household income if such income is less than 110 percent of the poverty level for such State, but the State may give priority to those households with the highest home energy costs or needs in relation to household income.

(3) Conduct outreach activities designed to assure that eligible households, especially households with elderly individuals or disabled individuals, or both, and households with high home energy burdens, are made aware of the assistance available under this title, and

any similar energy-related assistance available under subtitle B of title VI (relating to community services block grant program) or under any other provision of law which carries out programs which were administered under the Economic Opportunity Act of 1964 before the date of the enactment of this Act;

- (4) Coordinate its activities under this title with similar and related programs administered by the Federal Government and such State, particularly low-income energy-related programs under subtitle B of title VI (relating to community services block grant program), under the supplemental security income program, under part A of title IV of the Social Security Act, under title XX of the Social Security Act, under the low-income weatherization assistance program under title IV of the Energy Conservation and Production Act, or under any other provision of law which carries out programs which were administered under the Economic Opportunity Act of 1964 before the date of the enactment of this Act;
- (5) Provide, in a timely manner, that the highest level of assistance will be furnished to those households which have the lowest incomes and the highest energy costs or needs in relation to income, taking into account family size, except that the State may not differentiate in implementing this section between the households described in clauses 2(A) and 2(B) of this subsection;
- (6) To the extent it is necessary to designate local administrative agencies in order to carry out the purposes of this title, to give special consideration, in the designation of such agencies, to any local public or private nonprofit agency which was receiving Federal funds under any low-income energy assistance program or weatherization program under the Economic Opportunity Act of 1964 or any other provision of law on the day before the date of the enactment of this Act, except that—
 - (A) the State shall, before giving such special consideration, determine that the agency involved meets program and fiscal requirements established by the State; and
 - (B) if there is no such agency because of any change in the assistance furnished to programs for economically disadvantaged persons, then the State shall give special consideration in the designation of local administrative agencies to any successor agency which is operated in substantially the same manner as the predecessor agency which did receive funds for the fiscal year preceding the fiscal year for which the determination is made;
- (7) If the State chooses to pay home energy suppliers directly, establish procedures to --
 - (A) notify each participating household of the amount of assistance paid on its behalf;
 - (B) assure that the home energy supplier will charge the eligible household, in the normal billing process, the difference between the actual cost of the home energy and the amount of the payment made by the State under this title;
 - (C) assure that the home energy supplier will provide assurances that any agreement entered into with a home energy supplier under this paragraph will contain provisions to assure that no household receiving assistance under this title will be treated adversely because of such assistance under applicable provisions of State law or public regulatory requirements; and
 - (D) ensure that the provision of vendor payments remains at the option of the State in consultation with local grantees and may be contingent on unregulated vendors taking appropriate measures to alleviate the energy burdens of eligible households, including

providing for agreements between suppliers and individuals eligible for benefits under this Act that seek to reduce home energy costs, minimize the risks of home energy crisis, and encourage regular payments by individuals receiving financial assistance for home energy costs;

(8) Provide assurances that,

(A) the State will not exclude households described in clause (2)(B) of this subsection from receiving home energy assistance benefits under clause (2), and

(B) the State will treat owners and renters equitably under the program assisted under this title;

(9) Provide that--

(A) the State may use for planning and administering the use of funds under this title an amount not to exceed 10 percent of the funds payable to such State under this title for a fiscal year; and

(B) the State will pay from non-Federal sources the remaining costs of planning and administering the program assisted under this title and will not use Federal funds for such remaining cost (except for the costs of the activities described in paragraph (16));

(10) Provide that such fiscal control and fund accounting procedures will be established as may be necessary to assure the proper disbursement of and accounting for Federal funds paid to the State under this title, including procedures for monitoring the assistance provided under this title, and provide that the State will comply with the provisions of chapter 75 of title 31, United States Code (commonly known as the "Single Audit Act");

(11) Permit and cooperate with Federal investigations undertaken in accordance with section 2608;

(12) Provide for timely and meaningful public participation in the development of the plan described in subsection (c);

(13) Provide an opportunity for a fair administrative hearing to individuals whose claims for assistance under the plan described in subsection (c) are denied or are not acted upon with reasonable promptness; and

(14) Cooperate with the Secretary with respect to data collecting and reporting under section 2610.

(15) *Beginning in fiscal year 1992, provide, in addition to such services as may be offered by State Departments of Public Welfare at the local level, outreach and intake functions for crisis situations and heating and cooling assistance that is administered by additional State and local governmental entities or community-based organizations (such as community action agencies, area agencies on aging and not-for-profit neighborhood-based organizations), and in States where such organizations do not administer functions as of September 30, 1991, preference in awarding grants or contracts for intake services shall be provided to those agencies that administer the low-income weatherization or energy crisis intervention programs.

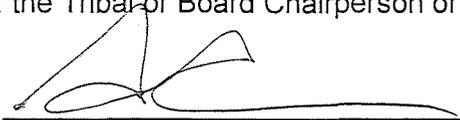
*This assurance is applicable only to States, and to territories whose annual regular LIHEAP allotments exceed \$200,000. Neither territories with annual allotments of \$200,000 or less nor Indian tribes/tribal organizations are subject to Assurance 15.

- (16) Use up to 5 percent of such funds, at its option, to provide services that encourage and enable households to reduce their home energy needs and thereby the need for energy assistance, including needs assessments, counseling, and assistance with energy vendors, and report to the Secretary concerning the impact of such activities on the number of households served, the level of direct benefits provided to those households, and the number of households that remain unserved.

Certification to the Assurances: As Chief Executive Officer, I agree to comply with the sixteen assurances contained in Title XXVI of the Omnibus Budget Reconciliation Act of 1981, as amended.* By signing these assurances, I also agree to abide by the standard assurances on lobbying, debarment and suspension, and a drug-free workplace.

Signature of the Tribal or Board Chairperson or Chief Executive Officer of the State or Territory.**

Signature:



Title:

GOVERNOR, STATE OF NEW YORK

Date:

August 31, 2011

***Indian tribes/tribal organizations, and territories with annual regular LIHEAP allotments of \$200,000 or less, are not subject to assurance 15, and thus must only certify to 15 assurances.**

****If a person other than the Chief Executive Officer of the State or territory, or Tribal Chairperson or Board Chairperson of a tribal organization, is signing the certification to the assurances, a letter must be submitted delegating such authority. (PLEASE ATTACH DELEGATION of AUTHORITY.) The delegation must include authority to sign the assurances, not just to administer the program.**

*****HHS needs the EIN (Entity Identification Number) of the State, territory or Tribal agency that is to receive the grant funds before it can issue the grant.**

In the above assurances which are quoted from the law, "State" means the 50 States, the District of Columbia, an Indian Tribe or Tribal Organization, or a Territory; "title" of the Act refers to Title XXVI of the Omnibus Budget Reconciliation Act of 1981 (OBRA), as amended, the "Low Income Home Energy Assistance Act"; "section" means Section 2605 of OBRA; and, "subsection" refers to Section 2605(b) of OBRA.

**GRANTEE: New York State Office of Temporary and Disability Assistance (NYS OTDA)
FFY 2012**

Statutory
References

2605(a)

2605(b)(1) ⇒ *Please check which components you will operate under the LIHEAP program.
(Note: You must provide information for each component designated here as
requested elsewhere in this plan.)*

(Use of Funds)

		Dates of Operation
X	Heating Assistance	*11/16/11-3/16/12
***	Cooling Assistance	
X	Crisis assistance	**1/3/12-3/16/12
X	Weatherization Assistance	

*Program opening is contingent upon the availability of federal funds. Early Outreach to households with a vulnerable individual who received a benefit in 2010-11 will begin on August 29, 2011. Operation of the heating assistance component may extend beyond March 16, 2012 if NYS determines that there are sufficient federal funds for an extension.

** Opening of the crisis component is contingent upon the availability of federal funds. The operation date of the crisis component may be either shortened or extended based on the availability of federal funding.

***NYS reserves the right to operate a cooling component if it is determined that sufficient federal funds are available.

NYS reserves the right to modify the program based on the availability of additional federal funds, either formula or emergency contingency.

The selection of any of the listed program changes is dependent upon factors that include, but are not limited to: 1) the amount of additional funding; 2) parameters or conditions attached to the funds; 3) the season (i.e., heating or cooling) during which the funds become available; and 4) the timing of the release of funding.

If additional funds become available in advance of or during the heating season, NYS may:

- Issue additional regular and/or emergency benefits. Such benefit amounts may be less than, equal to, or greater than the amount of the first regular and/or first emergency benefit;
- Increase the regular and/or emergency benefit amounts;
- Provide a supplemental benefit to any household receiving a regular HEAP benefit during the most recent/current program year; and/or
- Implement additional outreach and referral activities.

If additional funds become available during the cooling season, NYS may:

- Provide a benefit for cooling energy costs to eligible households, either as a supplement or as a separate benefit type;
- Purchase and install cooling equipment for HEAP eligible, medically needy households;
- Implement energy conservation measures as approved by HHS and/or DOE; and/or
- Implement additional outreach and referral activities.

NYS provides both heating and crisis assistance.

The NYS HEAP program is structured to provide non-crisis benefits to eligible households that make direct payments to a vendor for their primary heat source and to those households who make undesignated payments for heat in form of rent or other allowable shelter payments.

- Through NYS outreach activities, benefits will be targeted to households which include a vulnerable individual. A vulnerable individual is defined as an individual under age six, age 60 or older, or disabled. To target assistance to those households with the highest home energy burden, NYS has developed a benefit structure that directs higher benefits to “direct heating” households, with the highest benefits provided to households with the lowest income, based on family size, and the presence of vulnerable household members.

2605(c)(l)(C) ⇒ *Please estimate what amount of available LIHEAP funds will be used for each component that you will operate: **The total of all percentages must add up to 100%.***

(Use of Funds)

	57%	Heating Assistance
		Cooling Assistance
	23%	Crisis Assistance
2605(k)(1)	10%	Weatherization Assistance
		Carryover to the following fiscal year
2605(b)(9)	10%	Administrative and planning costs
2605(b)(16)		Services to reduce home energy needs including needs assessment (Assurance 16)
		Used to develop and implement leveraging activities (limited to the greater of 0.08% or \$35,000 for States, the greater of 2% or \$100 for territories, tribes and tribal organizations).
	100%	TOTAL

New York State will pay from non-federal sources any remaining costs of planning and administering the LIHEAP program and will not use Federal funds for any such remaining costs (except for the costs of the activities described in Assurance 16).

**GRANTEE: New York State Office of Temporary and Disability Assistance (NYS OTDA)
FFY 2012**

Statutory
References

2605(c)(1)(C)

⇒ *The funds reserved for winter crisis assistance that have not been expended by March 15 will be reprogrammed to: (alternate use of crisis assistance funds)*

X	Heating Assistance
	Cooling Assistance -NYS reserves the right to operate a cooling component if it is determined that sufficient federal funds are available
	Weatherization Assistance
X	Other(specify): To extend the crisis component closing date

⇒ *Do you accept applications for energy crisis assistance at sites that are geographically accessible to all households in the area to be served? (This is required by the statute.)*

X	Yes*		No
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*NYS allows phone in access for heat or heat related emergency benefits when the applicant has been approved for a regular benefit in the current program year.

2605(b)(2)
2605(c)(1)(A)

⇒ *What are your maximum eligibility limits? (Please check the components to which they apply.)*
Current year guidelines must be used.

(Eligibility)

	150% of the poverty guidelines:							
	heating	cooling	crisis	wx				
	125% of the poverty guidelines:							
	heating	cooling	crisis	wx				
	110% of the poverty guidelines:							
	heating	cooling	crisis	wx				
X	60% of the State's median income :							
	X	heating	X	cooling	X	crisis	X	wx
	Other (specify for each component)							
X	Households automatically eligible if one person is receiving:							
	X	TANF	*X	SSI Code A	X	Food Stamps		
	Certain means tested veterans programs							
	heating	cooling	crisis	wx				

*NYS living code A only

Households in which one or more household members are in receipt of Safety Net Assistance, Family Assistance (TANF), SSI (categorized as NYS living Code A "living alone") or Food Stamps are categorically income eligible for HEAP.

For income tested households, the maximum income eligibility limit for regular and crisis HEAP benefits will be set at the greater of 150% of the federal poverty level or 60% of the State's Median Income. NYS reserves the right to reduce income guidelines prior to program opening if federal funds are less than the planning base amount.

**MAXIMUM MONTHLY INCOME LEVELS
FOR RECEIPT OF TIER I AND II REGULAR HEAP BENEFITS IN 2011-12**
Maximum income levels for crisis are set at the Tier II level.

2011-12 HEAP MONTHLY INCOME ELIGIBILITY GUIDELINES		
Household Size	*Tier I	**Tier II
1	0 - 1,180	1,181 - 2,146
2	0 - 1,594	1,595 - 2,806
3	0 - 2,007	2,008 - 3,466
4	0 - 2,421	2,422 - 4,127
5	0 - 2,835	2,836 - 4,787
6	0 - 3,249	3,250 - 5,447
7	0 - 3,663	3,664 - 5,571
8	0 - 4,077	4,078 - 5,695
9	0 - 4,490	4,491 - 5,818
10	0 - 4,904	4,905 - 5,942
11	0 - 5,318	5,319 - 6,136
***11+	414	478

*Tier I figures represent 130% of the federal poverty level (derived from the 2011 HHS poverty guidelines).

**Tier II figures for households up to and including 10 members are based on 60% of the State Median Income derived from the State Median Estimates for use in FFY 2012.

***Figures for households of 11 members and above are based on 150% of the federal poverty level (derived from the 2011 HHS poverty guidelines).

**GRANTEE: New York State Office of Temporary and Disability Assistance (NYS OTDA)
FFY 2012**

Statutory
References

2605(c)(1)(A)

⇒ Do you have additional eligibility requirements for: **HEATING ASSISTANCE**

2605(b) (2)
(Eligibility)

X	Yes		No
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⇒ Do you use:		Yes	No
	Assets Test		X
⇒ Do you give priority in eligibility to:			
	Elderly	X	
	Disabled	X	
	Young Children	X	
	Other (If Yes, please describe)		X

In addition to income testing (or the determination of categorical income eligibility based upon receipt of certain means-tested programs), the following criteria will be utilized to determine eligibility for HEAP benefits:

Household Definition

A household is defined as any individual or group of individuals who are living together as one economic unit for whom residential energy is customarily purchased in common or that makes undesignated payments for energy in the form of rent. When an individual applies for regular HEAP for his or her household, the housing unit includes any individual residing in the home that is related by blood, marriage or adoption unless he or she supplies reasonable evidence to rebut this presumption.

Ineligible Living Arrangements

Households in the following living arrangements are not eligible to receive HEAP benefits:

- individuals who have no responsibility for heating costs and do not make undesignated payments for heat in the form of rent;
- individuals paying room or room and board in a private residence;
- individuals temporarily housed in a hotel/motel;
- individuals living in cars, vans, or temporarily living in recreational vehicles;
- residents of government provided housing on military bases with no heat or utility bills in their names;
- individuals living in an unsafe and/or condemned dwelling where the district is aware of the living conditions and has determined that the deficiencies cannot be reasonably corrected in a manner to ensure safe, healthy habitation; and

- residents of congregate care facilities (licensed or unlicensed), dormitories, agency boarding homes, group homes, institutions or Title XIX facilities, except that income eligible households that make undesignated payments for heat in the form of rent in the following living arrangements are eligible for a maximum annual HEAP regular benefit of \$1.00:
 - government subsidized housing with heat included in the rent;
 - publicly operated or State-certified private nonprofit residential drug or alcoholic treatment facilities;
 - private nonprofit residential drug or alcoholic treatment facilities that are authorized as a food stamp retailer by the United States Department of Agriculture or are in receipt of a letter from the certifying State agency stating that the facility operates to further the goals of Title XIX;
 - publicly operated or State-certified private nonprofit enriched housing;
 - publicly operated or State-certified private nonprofit residential group living facilities serving no more than 16 residents;
 - publicly operated or State-certified private nonprofit supervised or supportive living arrangements; and
 - State-Operated Community Residences.

NOTE: Households residing in these seven living arrangement exception categories are only eligible for a maximum annual HEAP regular benefit of \$1.00 and are not eligible for emergency HEAP or any other benefit under HEAP, except that eligible households in government subsidized housing with heat included in the rent that pay a supplier directly for heat-related utility service may be eligible for a HEAP heat-related emergency benefit if such benefit is necessary to resolve the heat-related energy crisis of the household.

Citizenship Requirements

In addition to the above criteria, an individual is not eligible for HEAP unless he or she is a United States citizen, a United States non-citizen national or a qualified alien as defined by the Federal government under 8 U.S.C. §1641 (b) and (c).

Social Security Number Requirement

Applicants must provide valid Social Security numbers for all household members.

Residence

The applicant must reside in NYS and must apply in the county of residence. The applicant's current address must be the primary residence and the applicant must be residing at the address at the time of application. Temporary absence is permitted under limited circumstances.

Participating Vendor

Applicants who qualify for a heater's benefits must choose a vendor participating in HEAP. A participating vendor is a vendor who has a current signed vendor agreement on file with OTDA.

**GRANTEE: New York State Office of Temporary and Disability Assistance (NYS OTDA)
FFY 2012**

Statutory
References

2605(c)(1)(A)
2605(b)(2)

⇒ Do you have additional eligibility requirements for:
COOLING ASSISTANCE

(Eligibility)

X	Yes		No
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<i>⇒ Do you use:</i>	Yes	No
Assets Test		X
<i>⇒ Do you give priority in eligibility to:</i>		
Elderly		
Disabled		
Young Children		
Other (If Yes, please describe)	X	Medical need

**GRANTEE: New York State Office of Temporary and Disability Assistance (NYS OTDA)
FFY 2012**

Statutory
References

2604(c)
2605(c)(1)(A)

⇒ Do you have additional eligibility requirements for:
CRISIS ASSISTANCE

(Eligibility)

<input type="checkbox"/>	N/A	<input checked="" type="checkbox"/>	Yes	<input type="checkbox"/>	No
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⇒ Do you use:		Yes	No
<input type="checkbox"/>	Assets Test	X	
<input type="checkbox"/>	Must the household have received a shut-off notice or have an empty tank?	*X	
<input type="checkbox"/>	Must the household have exhausted regular benefit?	**X	
<input type="checkbox"/>	Must the household have received a rent eviction notice?		X
<input type="checkbox"/>	Must heating/cooling be medically necessary?		X
<input type="checkbox"/>	Other (If Yes, please explain)		X

⇒ What constitutes a crisis? (Please describe)

*Must have less than ¼ tank for oil, kerosene or propane or less than a 10 day supply for other deliverable fuels.

**Applies only to heating emergencies

The emergency benefit component has been designed to resolve energy crisis situations including weather-related and supply shortage emergencies and other household energy emergencies. To be eligible for a HEAP emergency benefit, the applicant must be the customer of record. The term “customer of record” means a person or persons who have an account in their name with a home energy vendor and who resides in the dwelling for which they are requesting HEAP assistance. In general, the residence must be the applicant’s primary home. However, if the applicant is temporarily absent from their primary home due to the lack of heat or unsafe conditions, the emergency assistance may still be granted.

To be eligible for an emergency benefit, the applicant household must also:

- Meet HEAP eligibility criteria. Households with at least one active TA recipient, Code A (NYS State living Code A) SSI recipient, and/or Food Stamp recipient are categorically income eligible. A customer of record who is ineligible for regular HEAP benefits because they do not meet citizenship requirements may receive emergency HEAP benefits on behalf of members of the household who do meet citizenship requirements.

AND

- Be currently without heating fuel or have an amount of heating fuel that is equal to or less than one-quarter of the household’s fuel tank (for oil, kerosene and propane) or have a heating fuel supply that will last less than 10 calendar days (for wood and coal) and be unable to obtain a delivery.

OR

- Have heat-related utility service (primary heating source or electricity essential to operate the heating equipment) currently disconnected or scheduled for disconnection.

OR

- Be in an emergency home heating situation that is deemed by the local social services department to be detrimental to the health or safety of household members if temporary emergency shelter or relocation is not provided.

AND

- Not have available liquid resources in an amount greater than \$2,000 (\$3,000 for households with a member age 60 or older for households) for households applying for heat, heat-related, or emergency relocation benefits. Households applying for heating equipment repair or replacement cannot have available liquid resources equal to or greater than the cost of the repair or replacement. The following are considered liquid resources for HEAP:

- Cash
- Checking and/or savings account balances
- Stocks/bonds, Time deposit certificates
- IRA accounts, including remaining amounts from a closed out IRA
- Lump sums from sale of property or insurance settlements and balances from any other lump sum not specifically excluded
- 401(K) and other retirement accounts
- Income tax refunds (except EITC payments) only after the 12 month exclusion period has expired
- Any other available funds not specifically excluded

The following are not counted as resources for HEAP:

- Amounts designated for an allowable current monthly living expense such as food, shelter, employment-related expenses (transportation, child care, and other essential expenses), cost of one phone, either landline or cellular, utility and heating expenses
- Amount of penalties or fees incurred for early withdrawal of any countable resources
- Money earmarked for payment of the current year's property and/or school taxes for the primary residence
- One burial plot per household member
- One written pre-arranged burial agreement with a cash value not exceeding \$1,500 per household member and interest on the burial account
- Account, such as PASS accounts, designated by the Social Security Administration as exempt from SSI resource limits
- Real and personal property

- Equipment
- Automobiles and other vehicles
- Household furnishings
- Livestock
- Agent Orange settlements
- Nazi Restitution payments
- Attica Settlement payments
- College grants
- EITC payments
- Income tax refunds for the month of receipt and the following 12 months
- Loans (including college loans)
- Credit cards or advances from credit cards
- Individual Development Accounts (IDAs)
- Payments from reverse annuity mortgages
- Life Insurance policies, including any cash value of such policies
- In addition, \$3000 is exempt for households applying for heating equipment repair or replacement benefits.

An emergency HEAP benefit may only be issued when it is determined that a regular HEAP benefit is either not available or has been previously exhausted, except that a regular benefit to a heat included household that is otherwise eligible for a HEAP emergency benefit may be issued at the same time as an emergency benefit provided that the crisis component is open.

The emergency energy crisis of an eligible household must be resolved within 18 hours of application if the applicant's residence is without heat or utility service to operate a heating source. Imminent loss of heat or utility service to operate a heating source for all other eligible households must be resolved within 48 hours of application. In some instances, provision of assistance in resolving the immediate energy need may include temporary relocation, obtaining an extension of service from the household's utility company or other appropriate temporary remedies in order to fully evaluate the scope of the emergency or the applicant household's eligibility. However, the primary objective shall be to continue/restore heat to an eligible applicant's residence.

All applications for heating equipment repair and/or replacement must be made in person.

Each local district, in designing its local certification network, must provide the means by which a disabled/ill and homebound individual can apply for a HEAP heating equipment repair and/or replacement benefit. This may be accomplished at the discretion of the local district by a home visit or, if the applicant is physically able, by arranging transportation for the applicant to a site where

HEAP applications are taken although exemptions may be granted in circumstances where an in-person application poses an undue hardship for an applicant. Authorized representatives may apply on behalf of disabled/ill individuals when a home visit or special transportation of the disabled/ill individual is not feasible.

**GRANTEE: New York State Office of Temporary and Disability Assistance (NYS OTDA)
FFY 2012**

Statutory
References

2605(c)(1)(A)

⇒ Do you have additional eligibility requirements for: **WEATHERIZATION**

(Eligibility)

<input type="checkbox"/>	N/A	<input type="checkbox"/>	Yes	<input checked="" type="checkbox"/>	X	<input type="checkbox"/>	No
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⇒ Do you use:		Yes	No
<input type="checkbox"/>	Assets Test	<input type="checkbox"/>	<input checked="" type="checkbox"/>
<input type="checkbox"/>	Priority groups (Please list)	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	⇒ Are you using Department of Energy (DOE) Low Income Weatherization Assistance Program (LIWAP) rules to establish eligibility or to establish priority eligibility for households with certain characteristics?	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	If yes, are there exceptions? Please list below	<input checked="" type="checkbox"/>	<input type="checkbox"/>

- Preference for households receiving LIHEAP assistance
- Preference for households that have high energy burdens
- Preference for households occupying state-assisted affordable housing

**GRANTEE: New York State Office of Temporary and Disability Assistance (NYS OTDA)
FFY 2012**

Statutory
References

2605(b)(3)
2605(c)(3)(A)

⇒Please check the outreach activities that you conduct that are designed to assure that eligible households are made aware of all LIHEAP assistance available:

(Outreach)

X	Provide intake service through home visits or by telephone for the physically infirm (i.e. elderly or disabled).
X	Place posters/flyers in local and county social service offices, Office of Aging, Social Security office, VA, etc.
X	Publish articles in local newspapers or broadcast media announcements
X	Include inserts in energy vendor billings to inform individuals of the availability of all types of LIHEAP assistance.
X	Make mass mailing to past recipients of LIHEAP.
X	Inform low income applicants of the availability of all types of LIHEAP assistance at application intake for other low-income programs.
X	Execute interagency agreements with other low-income program offices to perform outreach to target groups.
X	Other (Please specify)
	<ul style="list-style-type: none"> ◦ Toll free information hotline operated by NYS Office of Temporary and Disability Assistance and NYS Office for the Aging.
	<ul style="list-style-type: none"> ◦ Information about the program and a printable application are available on the OTDA internet site when the program is open.
	<ul style="list-style-type: none"> ◦ Identification of households potentially eligible for LIHEAP funded weatherization services and assessing the scope of need for identified households.
	<ul style="list-style-type: none"> ◦ State and local resources dedicated to implementing mandated outreach plans and program dissemination activities.
	<ul style="list-style-type: none"> ◦ Targeting efforts to provide program information and access to vulnerable households.

**GRANTEE: New York State Office of Temporary and Disability Assistance (NYS OTDA)
FFY 2012**

Statutory
References

2605(b)(4) ⇒Please describe how you will assure that LIHEAP is coordinated with similar and related programs. The description provided applies to all components unless specifically noted.

(Coordination)

HEAP activities will be coordinated with other low income programs administered by other State and local agencies. A HEAP Interagency Task Force provides a forum for developing the HEAP State Plan and coordinating energy-related programs. The Task Force includes: NYS OTDA; NYS Department of Public Service; NYS Energy Research and Development Authority; NYS Office for the Aging; NYS Homes and Community Renewal; Governor's Office; NYS Division of the Budget; and NYS Consumer Protection Board.

In addition, the NYS HEAP Block Grant Advisory Council, which is composed of representatives from State and local government, energy suppliers, and low income advocates, is consulted in the development of the HEAP State Plan and coordination of energy-related programs.

2605(b)(5) ⇒The statute requires that there be no difference in the treatment of households eligible because of their income and those eligible because they receive benefits under TANF, Food Stamps, SSI, or certain means-tested veterans programs ("categorically eligible"). How do you ensure there is no difference when determining eligibility and benefit amounts? This applies to all components unless specifically noted below.

2605(b)(2)
2605(b)(8A)

(Benefit Levels)

For regular and crisis benefits, New York State has adopted maximum income guidelines equal to the greater of 150% of the federal poverty level or 60% of the State's Median Income. No household at or below 110% of the federal poverty level will be denied access to any program component solely on the basis of income.

Non-income related eligibility criteria for each program component is applied uniformly to all applicant households.

To limit administrative costs while maximizing HEAP accessibility and/or targeting benefits to the lowest income households and households that contain a vulnerable member, the following outreach and certification components will be utilized:

A) Temporary Assistance Outreach Component

As part of their outreach efforts and to minimize workload and associated administrative costs, OTDA may authorize regular HEAP benefits through the automatic payment process to Temporary Assistance (TA) recipients whose cases are in active status at the time of the TA pull-down(s) and who meet all other HEAP eligibility criteria.

B) Food Stamp Outreach Component

As part of their outreach efforts and to minimize workload and associated administrative costs, OTDA may authorize regular HEAP benefits through the automatic payment process to Food Stamp (FS) recipients whose cases are in active status at the time of the FS pull-down(s) and who meet all other HEAP eligibility criteria.

C) Supplemental Security Income (SSI) Code A Outreach Component

In New York City, the New York City Human Resources Administration may automate the authorization of HEAP benefits to eligible New York City Code A SSI households in active status at the time of the pull-down.

D) Mail-In Applications

Applicants for regular benefits may apply by mail. Applicants who did not receive a regular benefit in 2010-11 via the application process are required to provide documentation and to be interviewed. Applicants may opt for an in person or phone interview.

E) Electronic Filing

Local districts may opt to participate in a pilot allowing electronic filing of HEAP applications.

Statutory
References

HEATING COMPONENT

2605(b)(5) ⇒Please check the variables you use to determine your benefit levels
(check all that apply):

(Determination of Benefits)

X	Income
X	Family (household) size
X	Home energy cost or need
X	Fuel type
	Climate/region
	Individual bill
	Dwelling type
	Energy burden (% of income spent on home energy)
X	Other (describe) Presence of a vulnerable individual (children under 6, individuals aged 60 or older and disabled individuals).

2605(b)(5)
Households
Relation ⇒Describe how you will assure that the highest benefits go to
with the lowest incomes and the highest energy costs or needs in
to income, taking into account family size.

2605(c)(1)(B)
(Benefit Levels) Please describe benefit levels or attach a copy of your payment matrix.

In accordance with 42 USC 8621(a), New York State’s regular HEAP benefit structure assists households that pay a high proportion of household income for energy. As research has shown that heat included households consume less energy than households that pay directly for heat and are, therefore, less likely to have a high home energy burden, higher benefit levels are provided to households that pay directly for heat than to heat included households. In addition, to target high burden households, higher benefits are provided to those households that have the lowest income.

REGULAR DIRECT HEATING COMPONENT

For households that pay a vendor directly for heat, base benefit amounts are established by fuel type, which recognizes the differential proportion of household income for energy expended by customers heating with fuels of varying price levels. Higher benefits are provided to those households that include a vulnerable individual and have the lowest income.

Heater Benefit Levels:

Households heating with oil, kerosene or propane will be provided with no less than a \$450 benefit. In addition, these households will receive an additional \$25 if the household’s income is at or below Tier I income levels and will receive an additional \$25 if one or more household members met the vulnerability criteria.

Households heating with wood, coal or other deliverable fuel types will be provided with no less than a \$250 benefit. In addition, these households will receive an additional \$25 if the household's income is at or below Tier I income levels and will receive an additional \$25 if one or more household members met the vulnerability criteria.

Households heating with natural gas or electricity will be provided with no less than a \$250 benefit. In addition, these households will receive an additional \$25 if the household's income is at or below Tier I income levels and will receive an additional \$25 if one or more household members met the vulnerability criteria.

New York State reserves the right to adjust both the base benefit amounts and the add on amounts to reflect changes in heating prices and changes in federal LIHEAP funding levels between the time the HEAP State Plan is submitted to the U.S. Department of Health and Human Services (U.S. DHHS) and the closing date of the 2011-12 HEAP season. New York State will notify U.S. DHHS in writing of any such benefit amount changes.

REGULAR HEAT INCLUDED COMPONENT

Households that are not directly responsible for the payment of their primary heating costs to a vendor but who make undesignated payments for heat as a portion of their rent and are in an eligible living arrangement other than one of the living arrangements listed below under "\$1.00 Heat Included Benefit" will receive a benefit based on a two-tier payment structure. A household's tier is determined based on the household's gross monthly income taking into account household size.

Tier I households (gross monthly income at or below 130% of the federal poverty level), the lowest income grouping, will receive a heat included benefit of no less than \$25. Tier II households (gross monthly income between 130% of the federal poverty level and 60% of the State Median Income) will receive a heat included benefit of no less than \$20. In this manner, heat included households in the lowest income grouping, which generally pay a higher percentage of their income for indirect heating costs, will receive a higher benefit than those heat included households in the higher income grouping (Tier II).

\$1.00 Heat Included Benefit

To enhance participation and benefits for Food Stamp recipients, an annual regular HEAP benefit of \$1.00 is available for income eligible households that make undesignated payments for heat in the form of rent in the following living arrangements:

- government subsidized housing with heat included in the rent;
- publicly operated or State-certified private nonprofit residential drug or alcoholic treatment facilities;
- private nonprofit residential drug or alcoholic treatment facilities that are authorized as a food stamp retailer by the United States Department of Agriculture or are in receipt of a letter from the certifying State agency stating that the facility operates to further the goals of Title XIX;
- publicly operated or State-certified private nonprofit enriched housing;
- publicly operated or State-certified private nonprofit residential group living facilities serving no more than 16 residents;

- publicly operated or State-certified private nonprofit supervised or supportive living arrangements; and
- State-operated community residences.

Households residing in these seven living arrangement categories are only eligible for a maximum annual HEAP regular benefit of \$1.00 and are not eligible for emergency HEAP or any other benefit under HEAP, except that eligible households in government subsidized housing with heat included in the rent that pay a supplier directly for heat-related utility service may be eligible for a HEAP heat-related emergency benefit if such benefit is necessary to resolve the heat-related energy crisis of the household.

By Federal Food Stamp regulation, receipt of a HEAP benefit, regardless of the amount of the HEAP benefit, enables FS applicants or recipients to maximize the FS Standard Utility Allowance (SUA). Households receiving the \$1.00 HEAP benefit who are also applicants or recipients of FS will receive the highest FS SUA. Using the highest allowable SUA in the FS benefit calculation may make an applicant eligible for FS who would not otherwise be eligible and may significantly increase FS benefits for many households. The annual \$1.00 HEAP benefit will qualify the household for the maximum FS SUA for 12 months.

⇒Do you provide in-kind (e.g., blankets, space heaters) and/or other forms of benefits?

If Yes, please describe	X	No
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Statutory
 References

2605(b)(5)
 2605(c)(1)(B)

(Determination
 of Benefits)

COOLING COMPONENT

⇒ Please check the variables you use to determine your benefit levels
 (check all that apply):

<input type="checkbox"/>	Income
<input type="checkbox"/>	Family (household) size
<input type="checkbox"/>	Home energy cost or need
<input type="checkbox"/>	Fuel type
<input type="checkbox"/>	Climate/region
<input type="checkbox"/>	Individual bill
<input type="checkbox"/>	Dwelling type
<input type="checkbox"/>	Energy burden (% of income spent on home energy)
<input type="checkbox"/>	Energy need
<input type="checkbox"/>	Other (describe) documented medical need for cooling

2605(b)(5)
 2605(c)(1)(B)

(Benefit Levels)

⇒ Describe how you will assure that the highest benefits will go to households with the lowest incomes and the highest energy costs or needs in relation to income, taking into account family size. Please describe benefit levels or attach a copy of your payment matrix.

⇒ Do you provide in-kind (e.g. fans) and/or other forms of benefits?

<input type="checkbox"/>	Yes, please describe	<input type="checkbox"/>	No
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Statutory
 References

2605(b)(5)
 2605(c)(1)(B)

CRISIS COMPONENT

(Determination of Benefits)

⇒How do you handle crisis situations?

<input checked="" type="checkbox"/>	Separate Component	<input type="checkbox"/>	Other (please explain)
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⇒If you have a separate component, how do you determine crisis assistance benefits?

<input type="checkbox"/>	Amount to resolve crisis, up to maximum
<input checked="" type="checkbox"/>	Other (please describe)

Benefits will be based on the type of heating or heat-related emergency. Participating vendors have agreed to make deliveries or to restore/suspend termination of gas or electric service for the following amounts:

Crisis Benefit Levels	
Oil, kerosene, propane	No less than \$550
Wood, coal, other deliverable fuel	No less than \$250
Heat related domestic electricity	No less than \$125
Natural gas heat	No less than \$200
Natural gas heat and electricity	No less than \$325
Electric heat	No less than \$325

New York State reserves the right to adjust the above emergency benefit amounts to reflect changes in fuel prices and changes in federal LIHEAP funding levels between the time the HEAP State Plan is submitted to the U.S. Department of Health and Human Services (U.S. DHHS) and the closing date of the 2011-12 HEAP season. New York State will notify U.S. DHHS in writing of any such benefit amount changes.

Other Heat-Related Emergencies

- **Temporary Emergency Shelter or Relocation**

The maximum total benefit may not exceed \$500 during the HEAP season.

- **Propane Installation/Reconnection**

The maximum total benefit may not exceed \$500 during the HEAP season.

- Heating Equipment Repair and Replacement

Eligible households may receive up to \$6000 once in a ten year period for replacement. The maximum benefit for replacement cannot exceed \$3000 in any one program year.

(Benefit Levels)

⇒ Please indicate the maximum benefit for each type of crisis assistance offered.

Heating	\$550	Maximum benefit
Cooling		Maximum benefit
Year-round		Maximum benefit

⇒ Do you provide in-kind (e.g. blankets, space heaters, fans) and/or other forms of benefits?

<input checked="" type="checkbox"/>	Yes, please describe	<input type="checkbox"/>	No
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In the event of weather-related emergencies and/or temporary fuel shortages, the local departments of social services are authorized to purchase an appropriate supply of safe, supplemental heating devices that meet local building codes and can be loaned to eligible households until such time as a delivery of the household's primary heating fuel can be obtained. Provision of emergency shelter or emergency relocation is also an acceptable form of assistance when appropriate to resolve such household's immediate energy needs until the weather improves sufficiently or a supply of heating fuel is obtained.

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Statutory
References

2605(b)(5)
2605(c)(1)
(B) & (D)

**WEATHERIZATION & OTHER ENERGY RELATED
HOME REPAIR AND IMPROVEMENTS**

⇒What LIHEAP weatherization services/materials do you provide?
(Check all categories that apply.)

(Types of Assistance)

<input checked="" type="checkbox"/>	Weatherization needs assessments/audits
<input checked="" type="checkbox"/>	Caulking, insulation, storm windows, etc.
<input checked="" type="checkbox"/>	Furnace/heating system modifications/repairs
<input checked="" type="checkbox"/>	Furnace replacement
<input checked="" type="checkbox"/>	Cooling efficiency mods/repairs/replacement
<input checked="" type="checkbox"/>	Other (please describe)

(Benefit Levels)

⇒Do you have a maximum LIHEAP weatherization benefit/expenditure per household?

<input type="checkbox"/>	Yes	<input checked="" type="checkbox"/>	No
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If Yes, what is the maximum amount?

\$

⇒Under what rules do you administer LIHEAP weatherization? (Check only one.)

(Types of Rules)

<input type="checkbox"/>	Entirely under LIHEAP (not DOE) rules
<input checked="" type="checkbox"/>	Entirely under DOE LIWAP rules
<input type="checkbox"/>	Mostly under LIHEAP rules with the following DOE LIWAP rule(s) where LIHEAP and LIWAP rules differ (Check all that apply):
<input type="checkbox"/>	Weatherize buildings if at least 66% of units (50% in 2- & 4-unit buildings) are eligible units or will become eligible within 180 days
<input type="checkbox"/>	Weatherize shelters temporarily housing primarily low income persons (excluding nursing homes, prisons, and similar institutional care facilities).
<input type="checkbox"/>	Other (Please describe)
<input type="checkbox"/>	Mostly under DOE LIWAP rules, with the following LIHEAP rule(s) where LIHEAP and LIWAP rules differ (Check all that apply.)
<input type="checkbox"/>	Weatherization not subject to DOE LIWAP maximum statewide average cost per dwelling unit.
<input type="checkbox"/>	Other (Please describe.)

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2605(b)(6)

⇒ *The state or tribe administers LIHEAP through the following local agencies:*

(Agency Designation)

X	County welfare offices
X	Community action agencies (weatherization component only)
	Community action agencies (heating, cooling or crisis)
	Charitable organizations
	Not applicable (i.e. state energy office)
	Tribal office
	Other, describe

⇒ *Have you changed local administering agencies from last year?*

	Yes	X	No
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If Yes, please describe how you selected them.

⇒ *What components are affected by the change?*

2605(c)(1)(E)

⇒ *Please describe any additional steps (other than those described elsewhere in this plan) that will be taken to target assistance to households with high home energy burdens. (This applies to all components. If all steps to target households with high home energy burdens are described elsewhere in the plan, no further information is required here.)*

(Targeting of Assistance)

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Statutory
References

2605(b)(7) ⇒ *Do you make payments directly to home energy suppliers?*

(Energy Suppliers)

	Yes	No	N/A
Heating	X		
Cooling			X
Crisis	X		

If yes, are there exceptions?

X	Yes		No
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If yes, please describe. Eligible households who cut their own wood may receive a direct payment.

Regular and emergency HEAP payments are made directly to home energy suppliers on behalf of eligible households that pay directly for their energy costs. These payments are made primarily via check or electronic funds transfer through the New York State Office of the State Comptroller's central accounting system for all districts except New York City, and through New York City's payment system for NYC recipients. Local districts are authorized to issue two-party checks to home energy suppliers in certain circumstances.

2605(b)(7)(A) ⇒ *If you make payments directly to home energy suppliers, how do you notify the client of the amount of assistance paid? (Please describe)*

All applicants are provided with a notice, for both the regular and emergency components, advising of their eligibility and the amount paid on their behalf.

2605(b)(7)
(B) & (C)

⇒ *How do you make sure the home energy supplier performs what is required in this assurance? If vendor agreements are used, they may be attached. Indicate each component for which this description applies.*

In New York, the term "home energy vendor" is defined as an individual or entity engaged in the primary business of selling electricity, oil, gas, wood, kerosene or any other fuel used for home energy in a residential dwelling. For the regular benefit component of HEAP, the term "home energy vendor" also includes companies and/or landlords that have been approved by the New York State Public Service Commission (PSC) for submetering and/or billing when it can be demonstrated that the benefit is credited to the recipient's usage.

Each home energy vendor must sign a New York State HEAP vendor agreement to participate in both the regular and emergency components of HEAP. The vendor agreement requires the home energy vendor to commit to:

- charging HEAP recipients, in the normal billing process, the difference between the cost of the home energy and the amount of the HEAP payment made;
- not adversely treating households receiving assistance from HEAP because of such assistance under applicable provisions of State law or public regulatory requirements;
and
- not discriminating, either in costs of goods supplied or the services provided, against the household on whose behalf HEAP payments are made.

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Statutory
References

2605(b)(8)(B) → *Is there any difference in the way owners and renters are treated? If yes, please describe.*

(Owners and Renters)

HEATING ASSISTANCE

	Yes	X	No
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COOLING ASSISTANCE

	Yes	X	No
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CRISIS ASSISTANCE

	Yes	X	No
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WEATHERIZATION

	Yes	X	No
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Statutory
References

2605(b)(10) ⇒ *How do you ensure good fiscal accounting and tracking of LIHEAP funds? (Please describe. Include a description of how you monitor fiscal activities.)*

(Program, Monitoring, and Audit)

NYS OTDA utilizes fiscal and fund accounting procedures similar to those utilized by NYS OTDA and local social services districts in the administration of other income-tested assistance programs. Districts are provided with allocations for administration and for district payments, and claims are monitored by OTDA fiscal staff to ensure that allocation levels are not exceeded. The NYS OTDA Welfare Management System (WMS) is used to monitor application activity and benefits authorized outside of NYC. Since NYC utilizes its own computer system to authorize and pay HEAP benefits, NYC provides reports from its system to OTDA for review.

The use of LIHEAP funds sub allocated to the NYS Homes and Community Renewal (HCR) and the New York State Office for the Aging (NYSOFA) is governed by a Cooperative Agreement which OTDA enters into with these agencies on an annual basis. The Cooperative Agreements require that HCR and NYSOFA transmit fiscal reports to OTDA on a quarterly basis that show the amount of LIHEAP funds obligated and expended by category of expenditure.

OTDA will conduct periodic reviews of HCR's administration of LIHEAP funded weatherization programs.

⇒ *How do you monitor program activities? (Please be sure to include a description of how you monitor eligibility and benefit determination.)*

At a minimum, OTDA will conduct annual on-site monitoring reviews of at least ten local social services districts. Districts will be chosen for review based upon factors that include, but are not limited to, the number of application approvals during the immediately preceding HEAP program year and non-compliance in resolving issues identified in previous monitoring reviews. Case reviews will be conducted as part of the monitoring to review eligibility and benefit determinations.

OTDA will also conduct audits of a sample of participating HEAP vendors to ensure compliance with the terms and conditions of the HEAP vendor agreement.

⇒ *How is your LIHEAP program audited?*

Under the Single Audit Act?

X	Yes		No
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If not, please describe:

For States and Territories:

→ *Is there an annual audit of local administering agencies?*

X	Yes		No
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If not, please explain.

**GRANTEE: New York State Office of Temporary and Disability Assistance (NYS OTDA)
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Statutory
References

2605(b) (12) ⇒ *How did you get timely and meaningful public participation in the development of the plan? (Please describe.)*

(Timely and Meaningful
Public Participation)

To solicit input into the development of the proposed 2011-12 HEAP State Plan, public comments were solicited and accepted through close of business, February 25, 2011.

Meetings of the NYS HEAP Block Grant Advisory Council and Interagency Task Force were held on August 2 and 4 to solicit input on the proposed State Plan.

2605(a)(2) ⇒ *Did you conduct public hearings on the proposed use and distribution of your LIHEAP funds? When and where?*

X	Yes		No
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(Not required for Tribes and tribal organizations)

(Public Hearings)

Two public hearings on the proposed state plan were held and comments on the plan were accepted through August 25, 2011. Hearings were held in Albany on August 22 and in NYC on August 25.

GRANTEE: New York State Office of Temporary and Disability Assistance (NYS OTDA)
FFY 2012

Statutory
References

2605(b)(13) ⇒ *Describe your fair hearing procedures for households whose applications are denied or not acted on in a timely manner. When are applicants informed of these rights?*

(Fair Hearings)

⇒ Denials

Individuals whose applications for HEAP benefits are denied are afforded an opportunity for a fair hearing conducted by NYS OTDA. Households whose applications for weatherization assistance have been denied are provided an opportunity to appeal before the NYS HCR.

Applications Not Acted On In a Timely Manner

Local social services districts are required to make determinations of eligibility on applications for regular HEAP benefits within 30 business days after the filing of such application or within 30 business days of program opening for applications received during the early outreach period. Local social services districts are required to expedite determinations of eligibility for emergency benefits so as to protect the health and safety of the applicant household. Districts must resolve the emergency energy crisis of an eligible household within 18 hours of application if the applicant's residence is without heat or utility service to operate a heating source. Imminent loss of heat or utility service to operate a heating source for all other eligible households must be resolved within 48 hours of application.

Individuals whose applications for HEAP benefits are not acted upon within the established timeframes are afforded an opportunity for a fair hearing conducted by NYS OTDA.

Applicants are advised of fair hearing rights on the timeliness of the eligibility decision at the time of the application by the provision of the "Application Rights" notice. Additionally, the "Notice of Eligibility Decision" provided to all applicants, both approved and denied, contains fair hearing rights language.

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Statutory
References

2605(b)(15) For States and Puerto Rico only (not applicable to Tribes and tribal organizations, or to territories whose annual regular LIHEAP allotments are \$200,000 or less):

→ Does the State agency that administers the following LIHEAP component also administer the State's welfare program?

(Alternate Outreach
and Intake)

HEATING ASSISTANCE

X	Yes		No
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If Yes, describe alternate process for outreach and intake:

As with other income-tested assistance programs administered by the NYS OTDA, HEAP is State supervised/locally administered with 58 local departments of social services (LDSS) designated as the lead local agencies for outreach, certification and payment. Prior to program start-up, each LDSS must establish a local certification network that provides for an alternative non-LDSS site(s) for a reasonable share of outreach and intake for regular and emergency HEAP assistance. LDSS may contract with other State or local government entities or community-based organizations to fulfill this mandate. Examples of community-based organizations include not-for-profit neighborhood-based organizations, local offices for the aging and community action agencies.

COOLING ASSISTANCE

	Yes		No
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If yes, describe alternate process for outreach and intake:

CRISIS ASSISTANCE

X	Yes		No
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If yes, describe alternate process for outreach and intake:

As with other income-tested assistance programs administered by the NYS OTDA, HEAP is State supervised/locally administered with 58 local departments of social services (LDSS) designated as the lead local agencies for outreach, certification and payment. Prior to program start-up, each LDSS must establish a local certification network that provides for an alternative non-LDSS site(s) for a reasonable share of outreach and intake for regular and emergency HEAP assistance. LDSS may contract with other State or local government entities or community-based organizations to fulfill this mandate. Examples of community-based organizations include not-for-profit neighborhood-based organizations, local offices for the aging and community action agencies.

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Statutory
References

2605(b)(16)

⇒ *Do you use LIHEAP funds to provide services that encourage and enable households to reduce their home energy needs and thereby the need for energy assistance? (This assurance refers to activities such as needs assessments, counseling, and assistance with energy vendors.)*

<input type="checkbox"/>	Yes	<input checked="" type="checkbox"/>	X	<input type="checkbox"/>	No
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If yes, please describe these activities.

If yes, how do you ensure that you don't use more than 5% (statutory ceiling) of your LIHEAP funds for these activities?

These resources are provided to SNA/EAA/ LIHEAP-eligible households and are supplements and/or alternatives to the benefits provided by or through New York's LIHEAP program, and are provided outside the LIHEAP program. The resource is integrated and coordinated with New York's LIHEAP program in the following way:

New York State has developed a wholly interactive process to assure that the energy-related needs of SNA recipients are met. During the period when New York's LIHEAP program is operational, local social services district staff responsible for coordinating the provision of LIHEAP benefits to SNA recipients and for authorizing this resource or benefit are one and the same. The local social services district case worker(s) assigned to each individual SNA recipient are responsible for addressing the individual household's home energy needs. Through access to New York's Welfare Management System (WMS), all case workers are able to determine, at any point in time, all LIHEAP and non-LIHEAP benefit payments issued to each individual case. In addition, the WMS computer system that is used to authorize and track payments contains case specific historical, demographic and income information, all of which are readily available to the caseworker by simple system inquiry. Because of this comprehensive system access capability, the documentation of LIHEAP eligibility and the amount of assistance received or to be received by the individual/case is always known and is a system-documented fact before, during and after assistance is provided to each household to be served by the resource.

- All Public Service Commission (PSC) regulated utilities in NYS operate non-public funded fuel funds to assist their service territory population with payment of energy bills. These resources are targeted to HEAP-eligible households that have exhausted their HEAP eligibility or are ineligible because of the unavailability of LIHEAP funding. As such, this resource meets the integration/coordination requirement as contained in 45 CFR 96.87(d)(2)(iii)(C).
- New York has exempted the collection of sales taxes from Public Assistance (PA) recipients whose ongoing utility/fuel bills are restricted and paid by the local department of social services. OTDA was instrumental in pursuing and obtaining this exemption several years ago. The purchasing power of these PA recipients is materially enhanced by the fact that they do not have to pay any sales tax. This resource meets the countable resource criteria as outlined in 45 CFR 96.87(d)(2)(i).
- Several New York utility companies have recently implemented low-income customer assistance plans. The plans consist of two components: rate moderation and uncollectible initiatives, including a negotiated percentage of income plan coupled with an arrearage forgiveness arrangement. The plan is a product of extensive discussions among PSC staff, utility companies, the NYS Consumer Protection Board, OTDA, the Public Utility Law Project, and Multiple Interveners. To the extent that these leveraged resources are quantifiable, NYS intends to include them in our application for Leveraging Incentive Funds. Where New York's LIHEAP program had an active substantive role in developing and/or acquiring the resource/benefits from home energy vendors, an effort will also be made to quantify and submit any such activity as leveraged resources for New York State HEAP-eligible households. This resource is a direct result of HEAP staff involvement in negotiations and regulation development and meets the countable resource criteria as outlined in 45 CFR 96.87(d)(2)(i).
- New York State LIHEAP officials, in conjunction with various local social services districts, the NYS Public Service Commission and the National Fuel Gas Distribution Corporation have established the Public Assistance Cooperative for Energy (PACE)

program. PACE is a natural gas aggregation program for certain public assistance recipients in Erie, Chautauqua and Niagara Counties in New York State. The program's objective is to provide the benefits of competition to low-income, payment-troubled customers by offering the opportunity to reduce energy costs through aggregation. This resource(s) meets the countable resource criteria as outlined in 45 CFR 96.87(d)(2)(i).

- OTDA has established a HEAP Oil Buying Component in New York State. The purpose of this component is to expand the buying power of LIHEAP dollars by obtaining a lower price for HEAP funded oil and kerosene gallons. This discounted price materially enhances the purchasing power of LIHEAP eligible households. This resource meets the countable resource criteria as outlined in 45 CFR 96.87(d)(2)(i).

* Leveraged resources/benefits that are counted under criterion (iii) in 45 CFR 96.87(d)(2) must be identified and described in the grantee's LIHEAP plan and distributed as indicated in the plan. In addition, leveraging resources/benefits that are counted under criterion (ii) must be carried out under one or more components of the grantee's regular LIHEAP program.

**GRANTEE: New York State Office of Temporary and Disability Assistance (NYS OTDA)
FFY 2012**

Statutory
References

2605(b) ⇒ *Please describe performance goals and measures planned for the
fiscal year. (This entry is optional.)*

(Performance Goals
and Measures)

ADDITIONAL CERTIFICATIONS AND REQUIREMENTS

Attached are additional certifications required as follows:

- Attachment 1** **Lobbying certification**, which must be filed by all States and territories. If applicable, Form LLL, which discloses lobbying payments, must be submitted. (Tribes and tribal organizations are **EXEMPT**.)
- Attachment 2** **Debarment and suspension certification**, which must be filed by all grantees.
- Attachment 3** **Drug-free workplace requirement certification**, which must be filed by all grantees, unless the grantee has filed a statewide certification with the Department of Health and Human Services. **STATES ONLY: If you have filed a statewide certification for the drug-free workplace requirement, please check here:**
- * One of the requirements included in the 1994 reauthorization of the statute is that state grantees must include in their annual application for funds a report on the number and income levels of households applying for and receiving LIHEAP assistance, and on the number of recipient households that have members who are elderly, disabled, or young children.
- Attachment 4** **All Tribes and those territories with allotments of less than \$200,000** need only submit data on the number of households served by each component (heating, cooling, weatherization and crisis). The approval for the collection of information contained in the **LIHEAP Household Report** is covered by OMB approval number 0970-0060.
- Attachment 5** Though not a part of this application, the report on funds to be carried over or available for reallocation as required by section 2607(a) for the preceding year must be submitted by August 1 of each year. A grant award for the current fiscal year may not be made until the carryover/reallocation report is received. The approval for the collection of information contained in the **LIHEAP Carryover and Reallocation Report** is covered by OMB approval number 0970-0106.

ATTACHMENT 5

PROGRAM INTEGRITY ASSESSMENT SUPPLEMENT
 Low Income Home Energy Assistance Program (LIHEAP)

ABSTRACT:

HHS is requiring further detail from Grantees on their FY2012 plans for preventing and detecting fraud, abuse, and improper payments. HHS is also requiring that Grantees highlight and describe all elements of this FY2012 plan which represent improvements or changes to the Grantees' FY2011 plan for preventing and detecting fraud, abuse and improper payment prevention.

Instructions: *Please provide full descriptions of the Grantee's plans and strategy for each area, and attach/reference excerpts from relevant policy documents for each question/column. Responses must explicitly explain whether any changes are planned for the new FY.*

State, Tribe or Territory (and grant official):			Date/Fiscal Year:
RECENT AUDIT FINDINGS			
Describe any audit findings of material weaknesses and reportable conditions, questioned costs and other findings cited in FY2011 or the prior three years, in annual audits, Grantee monitoring assessments, Inspector General reviews, or other Government Agency reviews of LIHEAP agency finances.	Please describe whether the cited audit findings or relevant operations have been resolved or corrected. If not, please describe the plan and timeline for doing so in FY2012.	If there is no plan in place, please explain why not.	Necessary outcomes from these systems and strategies
<p>During FFY2011, OTDA completed reviews of 14 LIHEAP vendors. For each vendor, OTDA sampled 15 payment records. OTDA found that five of the 14 vendors failed to charge their HEAP customers at or below the contract price for the commodity delivered; which is the pricing formula stipulated in the contract.</p> <p>New York State's LIHEAP program is audited annually under the Single Audit Act. No Single Audit findings of material weaknesses, reportable conditions or</p>	<p>Each vendor overcharged LIHEAP clients was instructed to issue a credit to the individual customer's account and also make account adjustments to other LIHEAP clients in their customer base. In addition, they were instructed to submit a Corrective Action Plan to ensure that OTDA LIHEAP pricing policies would be adhered to in the future.</p> <p>In light of the findings in the GAO audit, NY has revised the</p>	N/A	<p><i>The timely and thorough resolution of weaknesses or reportable conditions as revealed by the audit.</i></p>

ATTACHMENT 5

<p>questioned costs were identified for FFY 2011 or the prior three years.</p> <p>OTDA conducts annual on-site monitoring reviews of at least ten local social services districts. No findings of material weaknesses, reportable conditions or questioned costs were identified for FFY 2011 or the prior three years.</p> <p>In 2009, the U.S. Government Accountability Office (GAO) reviewed the potential for LIHEAP fraud and abuse in seven states, including New York State. The only NYS specific finding that was shared with us was that a \$240 regular 2007-08 HEAP benefit and a \$425 emergency 2007-08 HEAP benefit were provided to an Albany County applicant who included two incarcerated individuals as members of her household on her application. The household would not have been income eligible for a LIHEAP crisis benefit without the inclusion of the two household members who were incarcerated at the time of application.</p>	<p>application to obtain information on the length of time at the current address and has established procedures requiring certifiers to explore HEAP receipt at prior addresses if the applicant has not resided at the current residence for the entire HEAP season. This will provide further safeguards against duplicate benefits. Procedures regarding obtaining information on adult household members with zero income were also strengthened.</p>		
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According to the Paperwork Reduction Act Of 1995 (Pub. L. 104-13), public reporting burden for this collection of information is estimated to average 1 hours per response, including the time for reviewing instructions, gathering and maintaining the data needed, and reviewing the collection of information.

An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.

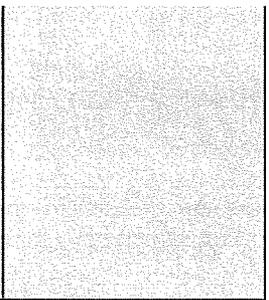
ATTACHMENT 5

COMPLIANCE MONITORING			
Describe the Grantee's FY 2011 strategies that will continue in FY 2012 for monitoring compliance with State and Federal LIHEAP policies and procedures by the Grantee and local administering agencies.	Please highlight any strategies for compliance monitoring from your plan which will be newly implemented as of FY 2012.	If you don't have a firm compliance monitoring system in place for FY 2011, please describe how the State is verifying that LIHEAP policy and procedures are being followed.	Necessary outcomes from these systems and strategies
<p>At a minimum, OTDA conducts annual on-site reviews of at least ten local social services districts to monitor compliance with State and Federal LIHEAP policies and procedures. Districts are chosen for review based upon factors that include, but are not limited to, the number of application approvals during the immediately preceding HEAP program year and non-compliance in resolving issues identified in previous monitoring reviews.</p> <p>During FFY2012, OTDA will continue to review a sample of LIHEAP vendors to ensure compliance with the terms and conditions of the New York State LIHEAP vendor agreement.</p> <p>NYS's LIHEAP program is audited under the Single Audit Act.</p> <p>An annual audit of local administering agencies is conducted.</p> <p>OTDA conducts periodic reviews of the New York State Division of Homes and Community Renewal's administration of LIHEAP funded weatherization programs and of the New York State Office for the Aging's administration of LIHEAP funded outreach and weatherization referral and packaging programs to ensure that funds are obligated and expended in compliance with LIHEAP rules.</p>	<p>All of these strategies are currently in place.</p>	<p>In addition to the measure already in place, NY will develop an Internal Controls framework document to further ensure compliance.</p>	<p><i>A sound methodology, with a schedule for regular monitoring and a more effective monitoring tool to gather information.</i></p>

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FRAUD REPORTING MECHANISMS			
<p>For FY 2011 activities continuing in FY 2012, please describe all (a) mechanisms available to the public for reporting cases of suspected LIHEAP fraud, waste or abuse [These may include telephone hotlines, websites, email addresses, etc.]; (b) strategies for advertising these resources.</p>	<p>Please highlight any tools or mechanisms from your plan which will be newly implemented in FY 2012, and the timeline for that implementation.</p>	<p>If you don't have any tools or mechanisms available to the public to prevent fraud or improper payments, please describe your plan for involving all citizens and stakeholders involved with your program in detecting fraud.</p>	<p>Necessary outcomes of these strategies and systems</p>
<p>OTDA has a Reporting Welfare Fraud form that is accessible from the OTDA internet site which allows the public to report suspected instances of welfare fraud and abuse. Once submitted, the information is automatically matched to a database of recipients to determine if the individual about whom the fraud allegation was made is known to the Welfare Management System database. Those individuals that do match are flagged for review by OTDA Program Integrity staff, who then determine if the allegation should be referred to the local district for investigation. The local district investigators, in turn, are able to access the system to review the fraud allegation and enter the results of the investigation directly into the system. System-generated and ad-hoc reporting capabilities allow Program Integrity and local district staff to track and report the results of the fraud allegation submissions and subsequent investigations.</p> <p>The public may also report fraud directly to the Local Social Service Fraud Units as well as through hotlines or websites that certain districts have.</p> <p>In addition, the NYS Welfare</p>		<p>N/A</p>	<p><i>Clear lines of communication for citizens, grantees, clients, and employees to use in pointing out potential cases of fraud or improper payments to State administrators.</i></p>

ATTACHMENT 5

<p>Inspector General's Office has a fraud reporting hotline.</p>			
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VERIFYING APPLICANT IDENTITIES			
Describe all FY 2011 Grantee policies continuing in FY2012 for how identities of applicants and household members are verified.	Please highlight any policy or strategy from your plan which will be newly implemented in FY 2012.	If you don't have a system in place for verifying applicant's identities, please explain why and how the Grantee is ensuring that only authentic and eligible applicants are receiving benefits.	Necessary outcomes from these systems and strategies
<p>Identity must be documented for each LIHEAP household member at the point of initial application with one of the following:</p> <ul style="list-style-type: none"> ◦ Driver's license ◦ Birth certificate ◦ Baptismal certificate ◦ School records ◦ Collateral contacts with landlords ◦ Social Security card ◦ Marriage certificate ◦ Passport <p>For FFY 2011, New York State required SSNs for all household members applying for HEAP. All SSNs are verified with the Social Security Administration (SSA) for validity.</p> <p>NYS's Welfare Management System (WMS) performs an electronic clearance process for all new applicants to provide local district workers with information about the applicant's current and past involvement as an applicant or recipient of assistance. Search criteria consists of matching name, gender, date of birth, Social Security Number and Client Identification Number (if previously assigned). Rigid controls and edits have been established to insure that each applicant has only one Client Identification Number (CIN) and that the demographic</p>	<p>NY will strengthen this component by requiring all new applicants, unless in receipt of Temporary Assistance or Food Stamps, to provide documentation of identity. Previously, applicants age 60 or older, in receipt of Code A SSI benefits, or permanently disabled were not required to submit documentation.</p> <p>New applicants are defined as those applicants who did not receive a benefit in the preceding year through the application process.</p>	<p>N/A</p>	<p><i>Income and energy supplier data that allow program benefits to be provided to eligible individuals.</i></p>

ATTACHMENT 5

information associated with that applicant and CIN is accurate.			
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ATTACHMENT 5

SOCIAL SECURITY NUMBER REQUESTS			
Describe the Grantee's FY 2012 policy in regards to requiring Social Security Numbers from applicants and/or household members applying for LIHEAP benefits.	Please describe whether the State's policy for requiring or not requiring Social Security numbers is new as of FY2012, or remaining the same.	If the Grantee is not requiring Social Security Numbers of LIHEAP applicants and/or household members, please explain what supplementary measures are being employed to prevent fraud.	Necessary outcomes from these systems and strategies
<p>For FFY 2012, New York State will continue to require Social Security numbers (SSNs) for all household members applying for HEAP.</p> <p>All SSNs are verified with the Social Security Administration (SSA) for validity.</p>	<p>The policy to require valid Social Security numbers and the validation process implemented in FFY2011 will remain the same for FFY2012</p>	<p>N/A</p>	<p><i>All valid household members are reported for correct benefit determination.</i></p>

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CROSS-CHECKING SOCIAL SECURITY NUMBERS AGAINST GOVERNMENT SYSTEMS/DATABASES			
Describe if and how the Grantee used existing government systems and databases to verify applicant or household member identities in FY 2011 and continuing in FY 2012. (Social Security Administration Enumeration Verification System, prisoner databases, Government death records, etc.)	Please highlight which, if any, policies or strategies for using existing government databases will be newly implemented in FY 2012.	If the Grantee won't be cross checking Social Security Numbers and ID information with existing government databases, please describe how the Grantee will supplement this fraud prevention strategy.	Necessary outcomes from these systems and strategies
<p>SSN Validation: Household members applying for HEAP with SSNs present undergo a batch processing activity known as SSN validation whereby WMS sends Social Security numbers (SSNs) with associated demographic data to the Social Security Administration (SSA) for comparison. If the SSN and demographic data that is associated with an individual on WMS matches the information on file with the SSA, then that individual's SSN Code is changed to '8' (SSN validated) in WMS. If the SSN is not validated by SSA, the SSN Code is changed to a value to indicate the reason the SSN was not validated. SSN validation occurs on a weekly basis and again on a monthly basis for a recheck regardless of their existing validation code.</p> <p>SSA Death Match: Household members applying for HEAP with SSNs present are part of a monthly match, whereby WMS sends to SSA individuals with SSNs present; and, if SSA records indicate that that individual has been reported as deceased, for Temporary Assistance (TA) and Food Stamp (FS) cases receiving HEAP, single-individual cases are automatically closed and multi-individual cases are reported to local districts for appropriate action (i.e. deletion of the</p>		<p>N/A</p>	<p><i>Use of all available database systems to make sound eligibility determination.</i></p>

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deceased individual and possible grant recalculation).

TA/FS Prison Match: On a monthly basis, TA and FS individuals (who may also be in receipt of HEAP benefits) are matched with New York State Division of Criminal Justice Services (DCJS) and New York State Division of Correctional Services (DOCS) databases to determine if those individuals are currently incarcerated. If a match is found, a monthly auto-close process occurs for single-individual cases, closing their TA and/or FS case and their corresponding categorical income eligibility for HEAP. Districts are notified of all cases closed as part of this process. State staff, from OTDA's Office of Audit and Quality Improvement (A&QI), receive lists of multi-person cases and refer these cases to local districts for investigation.

ATTACHMENT 5

VERIFYING APPLICANT INCOME			
<p>Describe how the Grantee or designee used State Directories of new hires or similar systems to confirm income eligibility in FY 2011 and continuing in FY 2012.</p>	<p>Please highlight any policies or strategies for using new hire directories which will be newly implemented in FY 2012.</p>	<p>If the Grantee won't be using new hire directories to verify applicant and household member incomes how will the Grantee be verifying the that information?</p>	<p>Necessary outcomes from these systems and strategies</p>
<p>New York State did not use State directories of new hires or similar systems to confirm income eligibility for LIHEAP in FFY 2011, and does not plan to do so in FFY 2012. The data in such systems is not real-time, and therefore, does not provide New York State with the ability to correctly confirm income eligibility at the point in time when an applicant applies for what is, for the vast majority of New York State's HEAP recipients, a one-time per year HEAP benefit.</p>	<p>If SSA were to permit states to use the State On-Line Query (SOLQ) system to determine initial and ongoing eligibility for LIHEAP, New York State would use this real-time system to enable local social services districts and alternate certifiers to confirm income eligibility for LIHEAP starting in FFY 2012.</p>	<p>New York State will verify applicant and household member incomes in FFY 2012 for households not in receipt of recurring TA, FS or code A SSI in accordance with the procedures in the New York State HEAP Manual</p>	<p><i>Effective income determination achieved through coordination across program lines.</i></p>

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PRIVACY-PROTECTION AND CONFIDENTIALITY			
Describe the financial and operating controls in place in FY 2011 that will continue in FY 2012 to protect client information against improper use or disclosure.	Please highlight any controls or strategies from your plan which will be newly implemented as of FY 2012.	If you don't have relevant physical or operational controls in place to ensure the security and confidentiality of private information disclosed by applicants, please explain why.	Necessary outcomes from these systems and strategies
<p>Access to HEAP case information and issuance of HEAP payments is limited to specific staff members and data entry terminals through the Terminal Transaction Security System (TTSS), a sub-system of WMS. TTSS is the security system that controls and monitors access to State legacy systems/centralized data base information on a need-to-know basis. All system users are assigned User IDs which allow limited access to HEAP information, and depending on functions assigned that User ID, may allow the ability to issue HEAP payments. TTSS manages day-to-day security-related data and activities needed to meet user access requirements by applying and adhering to the shared security mandate of granting access permissions and entitlements based on the fundamental principle of least privilege, i.e. granting the minimum access required to perform one's job duties when requesting, creating and managing user accounts and permissions.</p>	<p>The stringent controls in place will be continued in FFY 2012.</p> <p>Confidentiality</p> <p>All personally identifying information about a HEAP applicant or recipient is confidential and may be disclosed only for purposes of investigating or prosecuting suspected fraud or abuse, in cooperation with Federal <u>or State</u> authorities regarding LIHEAP audits or investigations, or with the written consent of the applicant or recipient.</p>	<p>N/A</p>	<p><i>Clear and secure methods that maintain confidentiality and safeguard the private information of applicants.</i></p>

ATTACHMENT 5

LIHEAP BENEFITS POLICY			
Describe FY 2011 Grantee policies continuing in FY 2012 for protecting against fraud when making payments, or providing benefits to energy vendors on behalf of clients.	Please highlight any fraud prevention efforts relating to making payments or providing benefits which will be newly implemented in FY 2012.	If the Grantee doesn't have policy in place to protect against improper payments when making payments or providing benefits on behalf of clients, what supplementary steps is the Grantee taking to ensure program integrity.	Necessary outcomes from these systems and strategies
<p>To insure accountability and to protect against internal fraudulent transactions, WMS has in place a system to track the User ID, Date, Time and Terminal used by individual workers who may inquire into or enter data, including the issuance of HEAP benefits, into the WMS database. In instances of suspected fraud or abuse of the system, reports can be generated to identify individuals who may attempt to perform such unwarranted transactions. Additionally, all transactions generate a "tagged user" through WMS' Local Data Feedback (LDF) process to identify, for local district management staff, the origin of any transactions performed on the system.</p> <p>WMS has in place numerous on-line and batch processing edits to prevent the accidental or purposeful issuance of duplicate HEAP benefits. Only one regular HEAP benefit (Pay Type H1) may be issued per case during each HEAP benefit year and, additionally, the Benefit Issuance and Control Subsystem (BICS) contains edits and controls to prevent duplicate issuances for various other HEAP single-issue payment types. Additionally, WMS edits insure that payments authorized must match stored budgets contained in its Automated Budget and Eligibility</p>	<p>The stringent controls in place will be continued in FFY 2012</p>	<p>NYS will strengthen procedures to verify resource information provided by the applicant.</p>	<p><i>Authorized energy vendors are receiving payments on behalf of LIHEAP eligible clients.</i></p>

ATTACHMENT 5

Logic (ABEL) budgeting subsystem.

During FFY2012, OTDA will continue to review a sample of LIHEAP vendors to ensure compliance with the terms and conditions of the New York State LIHEAP Vendor Agreement.

Notices issued to recipients contain information on the amount paid and the vendor name.

NYS policy required two levels of review on all applications.

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PROCEDURES FOR UNREGULATED ENERGY VENDORS			
Describe the Grantee's FY 2011 procedures continuing in FY 2012 for averting fraud and improper payments when dealing with bulk fuel dealers of heating oil, propane, wood and other unregulated energy utilities.	Please highlight any strategies policy in this area which will be newly implemented in FY 2012.	If you don't have a firm plan for averting fraud when dealing with unregulated energy vendors, please describe how the Grantee is ensuring program integrity.	Necessary outcomes from these systems and strategies
<p>To insure accountability and to protect against internal fraudulent transactions, WMS has in place a system to track the User ID, Date, Time and Terminal used by individual workers who may inquire into or enter data, including the issuance of HEAP benefits, into the WMS database. In instances of suspected fraud or abuse of the system, reports can be generated to identify individuals who may attempt to perform such unwarranted transactions. Additionally, all transactions generate a "tagged user" through WMS' Local Data Feedback (LDF) process to identify, for local district management staff, the origin of any transactions performed on the system.</p> <p>WMS has in place numerous on-line and batch processing edits to prevent the accidental or purposeful issuance of duplicate HEAP benefits. Only one regular HEAP benefit (Pay Type H1) may be issued per case during each HEAP benefit year and, additionally, the Benefit Issuance and Control Subsystem (BICS) contains edits and controls to prevent duplicate issuances for various other HEAP single-issue payment types. Additionally, WMS edits insure that payments authorized must match stored budgets contained in its Automated Budget and Eligibility Logic (ABEL) budgeting subsystem.</p>	<p>The stringent controls in place will be continued in FFY 2012</p>	<p>N/A</p>	<p><i>Participating vendors are thoroughly researched and inspected before benefits are issued.</i></p>

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During FFY 2012 OTDA will continue to review a sample of LIHEAP vendors to ensure compliance with the terms and conditions of the New York State LIHEAP vendor agreement.

Notices issued to recipients contain information on the amount paid and the vendor name.

NYS policy required two levels of review on all applications.

ATTACHMENT 5

VERIFYING THE AUTHENTICITY OF ENERGY VENDORS			
Describe Grantee FY 2011 policies continuing in FY 2012 for verifying the authenticity of energy vendors being paid under LIHEAP, as part of the Grantee's procedure for averting fraud.	Please highlight any policies for verifying vendor authenticity which will be newly implemented in FY 2012.	If you don't have a system in place for verifying vendor authenticity, please describe how the Grantee can ensure that funds are being distributed through valid intermediaries?	Necessary outcomes from these systems and strategies
<p>All vendors must provide:</p> <ul style="list-style-type: none"> ◦ Federal tax ID number ◦ Proof of insurance ◦ Proof of licensing <p>During FFY 2012, OTDA will continue to conduct on-site reviews of a sample of LIHEAP vendors to ensure compliance with the terms and conditions of the New York State LIHEAP vendor agreement and to verify the authenticity of LIHEAP vendors.</p>	<p>For FFY 2012, New York State will begin using Internet search engines to validate the authenticity of LIHEAP vendors.</p>	<p>N/A</p>	<p><i>An effective process that effectively confirms the existence of entities receiving federal funds.</i></p>

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TRAINING AND TECHNICAL ASSISTANCE			
<p>In regards to fraud prevention, please describe elements of your FY 2011 plan continuing in FY 2012 for training and providing technical assistance to (a) employees, (b) non-governmental staff involved in the eligibility process, (c) clients, and (d) energy vendors.</p>	<p>Please highlight specific elements of your training regimen and technical assistance resources from your plan which will represent newly implemented in FY 2012.</p>	<p>If you don't have a system in place for anti-fraud training or technical assistance for employees, clients or energy vendors, please describe your strategy for ensuring all employees understand what is expected of them and what tactics they are permitted to employ.</p>	<p>Necessary outcomes from these systems and strategies</p>
<p>OTDA conducts training sessions in August of each year to train local social services district and alternate certifier staff on the changes for the upcoming HEAP season. In addition, New York State provides new HEAP certifiers with the opportunity to attend HEAP Basic Certification Training, which provides in-depth training on correctly determining HEAP eligibility and on using the benefit authorization systems correctly.</p> <p>OTDA provides local district and alternate certifier staff with a HEAP Manual that is updated annually, and which provides detailed instructions on correctly determining and documenting eligibility and on correctly authorizing payments to energy vendors on behalf of eligible clients. The instructions in the HEAP Manual and additional policy and procedural requirements are provided to local districts in writing on a regular basis throughout the year.</p> <p>OTDA also holds vendor meetings to instruct LIHEAP vendors on the correct procedures and policies to follow in determining the correct price to charge HEAP recipients,</p>	<p>The comprehensive training and technical assistance in place will be continued in FFY 2012</p>	<p>N/A</p>	<p><i>The timely and thorough resolution of weaknesses or reportable conditions as revealed by the audit.</i></p>

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in applying HEAP benefits and in making LIHEAP funded fuel deliveries.

All HEAP applicants are provided with a client notice that describes the benefit amount if the client has been determined eligible. For clients that are not eligible, the client notice provides the reason why the client is not eligible. If the benefit is being directly issued to the client's energy vendor on behalf of the client, the client notice provides the name of the vendor where the benefit is being sent. Clients, therefore, have the information necessary to inform their local certifier if the payment is not being sent to the correct vendor. All individuals in receipt of a HEAP benefit in the prior year are sent a HEAP Application for the current year and a cover letter is included with the application that provides details on eligibility requirements, and any documentation or eligibility changes from the prior year. New York State also has a HEAP hotline that clients may call if they are in need of information or assistance.

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AUDITS OF LOCAL ADMINISTERING AGENCIES			
Please describe the annual audit requirements in place for local administering agencies in FY 2011 that will continue into FY 2012.	Please describe new policies or strategies to be implemented in FY 2012.	If you don't have specific audit requirements for local administering agencies, please explain how the Grantee will ensure that LIHEAP funds are properly audited under the Single Audit Act requirements.	Necessary outcomes from these systems and strategies
Local administering agencies were audited in accordance with the requirements in OMB Circular A-133 in FFY 2010, and will continue to be audited in accordance with these requirements in FFY 2012	The stringent requirements in place will be continued in FFY 2012	N/A	<i>Reduce improper payments, maintain local agency integrity, and benefits awarded to eligible households.</i>

Additional Information

Please attach further information that describes the Grantee's Program Integrity Policies, including supporting documentation from program manuals, including pages/sections from established LIHEAP policies and procedures.