

2024-2025 HEAP Monitoring

District monitoring in 2023-2024 took place through on-site reviews and will likely remain the same for 2024-2025. The HEAP monitoring process consists of an assessment of case records and local procedures to determine compliance with HEAP policy.

Review Process

- Districts are selected for reviews based on a variety of factors. The primary factor is the date of the last review since it is our goal to visit all districts no less than once every six years.
- Districts may also be selected if they fall within the “top 10” for HEAP benefits and expenditures in the previous program year, if the district’s previous review required a corrective action plan, if OTDA has received a high number of inquiries from applicants and/or vendors, or if problems have been identified.
- Districts are notified in advance of the date of the review and are provided with a list of cases selected.
- OTDA will make every effort to accommodate local district schedules, but reviews must be conducted during program operation in order for a complete assessment of procedures to be accomplished.
- OTDA staff may also conduct an assessment of a district’s Alternate Certifier(s).

Procedural Assessments

Reviews will include a review of local district procedures to ensure compliance with HEAP policies and procedures.

This part of the review will include, but is not limited to:

- Determination of the percentage of Early Outreach cases received and processed before program opening
- Overall assessment of case processing and adherence to processing timeframes, both at the district and Alternate Certifier(s)
- Assessment of pending cases and trends in case processing
- Applicant and vendor inquiries logged by OTDA
- Appropriate use of forms and client access to applications
- Emergency benefit phone procedures

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- Compliance with the 18/48 hour emergency resolution timeframes
- Review of contracts with Alternate Certifiers

Case Reviews

- Cases will be reviewed for the following: timeliness of case processing and emergency resolution, correct application certification, and correct benefit issuance.
- Cases will be selected using random case pulls for Regular, Emergency, Heating Equipment Repair and Replacement, Clean & Tune, Cooling, and Denied applications.

Desk Reviews

- OTDA HEAP Bureau staff may conduct off-site reviews.
- OTDA may implement desk reviews for selected counties. This will consist of a phone interview on local procedures and may include a review of case records using the Imaging Enterprise Document Repository (I/EDR) or other electronic review of case records.

Post-Monitoring Review Process

- OTDA HEAP staff will conduct an exit conference to discuss only fatal errors such as erroneous payments and improper denials.
- Following the review, the HEAP Coordinator will be provided a complete list of findings, and the district will be given approximately two weeks to review or refute any findings.
- Both procedural and case review findings will be provided in writing to local commissioners.
- Districts with identified compliance issues will be required to submit a corrective action plan within 60 days of the final findings letter being sent to the Commissioner and may be subject to an on-site review to ensure that the corrective action has been implemented.
- OTDA HEAP Bureau staff are available to assist districts in correcting any compliance issues, and to provide assistance for program improvement.