

2023-2024 HEAP Common Audit Findings

Below are the common errors found during the 2023-2024 HEAP local district case and operational monitoring, and report reviews. Please review all common audit findings with your staff and alternate certifiers to ensure proper application of HEAP policy.

HERR Worksheet (LDSS-4867) and HERR Job Proposal (LDSS-4867A) must be complete

All questions on the HERR Worksheet (LDSS-4867) and HERR Job Proposal (LDSS-4867A) must be completed to ensure proper eligibility determinations are made and job proposals procedures were followed. Most errors were found in:

- Customer verification of satisfactory work completion on the HERR Worksheet
- Customer signature on the HERR Job Proposal certifying that an onsite inspection of heating system was conducted
- Documentation of standard resource exclusion *in addition to all other applicable exemptions*
- Minimum of two job proposals for replacement work above \$4,000
- Referral to the Weatherization Assistance Program (WAP) operated through the New York State Homes and Community Renewal (HCR) using the DHCR Interagency Referral form
- HEAP Application (LDSS-3421) for HERR must be signed by a supervisor or one level up. A Case Supervisory Review (CSR) plan cannot be used on HERR cases.



HEAP Budgets must be accurate and stored correctly

HEAP budgets must be accurate and verified during the supervisory review, paying specific attention to the following:

- Documentation of income for new applicants
- Earned and unearned income must be entered into the budget correctly
- Vulnerability indicator
- Categorical eligibility codes
- Medicare Part B deductions

Returning applicants are not required to document unearned income unless the applicant's attestation warrants documentation. Categorically income eligible households may use the most recently stored SNAP or TA budget information if income documentation is not provided by the applicant.

Regular, Emergency, HERR, Clean and Tune, and Cooling benefits must have a stored budget.

The Cooling Services Invoice (LDSS 5044) must be complete.

- The cooling room square footage and air conditioner BTU information must be recorded on the invoice. The vendor must provide the customer with a receipt and completed warranty for the installed air conditioner.

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Clean and Tune (C&T) procedures and policy must be followed

- The case must include a completed C&T Request for Benefit (LDSS-5081) with the applicant and the agency use sections completely filled out.
- The C&T Services Invoice (LDSS-5083) must be completed in full by the vendor, including the Technician and Customer Certifications section with customer signature.
- **A C&T application received on or after 10/1, but before Regular program opening, must have a corresponding HEAP Application (LDSS-3421).**
 - Applications received on or before 9/30 must be processed for the prior program year and may use the HEAP Application (LDSS-3421) for that program year if one was submitted.
 - Applications received on or after 10/1 must be processed for the current program year and require a new HEAP Application (LDSS-3421). If the Regular benefit component is not open yet, a HEAP Application (LDSS-3421) is required. A subsequent HEAP Application (LDSS-3421) may be completed and submitted by the applicant on or after Regular program opening.