

HEAP Monitoring

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 to eight 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

HEAP Monitoring

- 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, 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.