

CSD Approval of ServTraq© 15 Day Written Notification Solution

Background

The 2016 LIHEAP contract requires agencies to provide written notification to customers within 15 days of receipt of their application. Agencies have notifications of incomplete documentation, denials and benefits in place. These will suffice if completed within 15 days, otherwise a notice of receipt must be sent.

Integrated ServTraq© software features enable agencies to streamline the notification requirement and maintain electronic records for compliance verification in a cost effective way. CSD reviewed the solution proposed and offered conditional¹ approval documented in Attachment 1.

ServTraq© 15 Day Solution

The ServTraq Contact Entry enables agencies to track all incoming and outgoing customer contact. *Contact Entries* build a contact history log and are visible to everyone within the organization. When codes are applied to *contact entries*, subsequent tasks such as document mail-outs can be streamlined, automated, and registered in the system.

The ServTraq © 15 Day Solution as illustrated in Attachment 2 works the following way:

- 1) The user locates (or adds) the customer in the database, and marks the application as “received” in the system.
- 2) A *contact entry* is posted to the customer record tracking the receipt of the application along with a code for the notification document to be made available to the customer. *Note: This is only an acknowledgement of receipt, the application as this stage has not been processed for eligibility.*
- 3) A mailing date is posted to the receipt contact entry when the user processes mailings and marks records as being sent. ServTraq mailing envelopes, labels, or e-mails can be generated from the system. Notification letters made available to walk-in customers may not be registered in ServTraq as having a mailing date.

CSD Compliance Verification

“[CSD] Field staff will verify compliance with the 15 day notification through client file review or verification through local systems or electronic version. A report will **not** be necessary, as long as the provider is able to show proof that notification was sent to the client within 15 working days.” (Andry, Kathy. Energy CSD Deputy Director of Energy & Environmental Services. "15 Day Solution." 12 Jan. 2016. E-mail.)

¹ Conditional Approval based on providing written notification within the 15-working days.

In the absence of an official “Electronic File” CSD definition, CCES interprets this to mean any data linked to an applicant, application or dwelling address that may be viewed to provide information supplied by the applicant or other source or record action taken by the contractor.

CSD Compliance Check

During the Annual CSD Monitoring Visit, Field Representatives select client files (intake applications and documentation) to verify contract and guidance compliance. Given a specific applicant name, address or ACC (Application ID), Agency staff only needs to open the ServTraq *Customer Contact* screen and refer to the receipt of application contact entry (HEAP Application Received, Notification Letter Sent (NL) Mailing Code). This would meet the electronic version of proof of notification check.

Possible Anomalies

It’s possible to have 2016 program year records without proof of notification if the application was received prior the effective date of the requirement as explained in Attachment 3.

Applications requested by customers are not always returned back to the agency by the requestor. A different household member may result the applicant. If the application is received under the “requestor” customer record and not the “applicant” customer record, this could result in an unfound electronic record unless ServTraq Application Barcodes are used.

Attachment 1

From: [Julie Garcia](#)
To: [Julie Garcia](#)
Subject: FW: 15 Day Solution
Date: Friday, February 05, 2016 2:28:23 PM

From: Andry, Kathy@CSD [<mailto:Kathy.Andry@CSD.CA.GOV>]
Sent: Tuesday, January 12, 2016 5:39 PM
To: Dennis Osmer <Dennis@energyservices.org>
Cc: Hart, Kristen@CSD <Kristen.Hart@CSD.CA.GOV>; Fernandez, Che@CSD <Che.Fernandez@CSD.CA.GOV>
Subject: RE: 15 Day Solution

Hi Dennis,

Field staff will verify compliance with the 15 day notification through client file review or verification through local systems or electronic version. A report will not be necessary, as long as the provider is able to show proof that notification was sent to the client within 15 working days.

Thanks.

Kathy

From: Dennis Osmer [<mailto:Dennis@energyservices.org>]
Sent: Tuesday, January 12, 2016 2:36 PM
To: Andry, Kathy@CSD
Cc: Hart, Kristen@CSD; Fernandez, Che@CSD
Subject: RE: 15 Day Solution

Hi Kathy,

As we try and prepare for a webinar on the 15 day notice solution, we are trying to anticipate questions. Obviously people are going to ask what the monitoring requirement will be and how will they fulfill it in regard to this. We would propose that you might do a spot check, whereby you chose a particular file (or number of files (applications)) and asked to see the contact screen or electronic version of proof of notification. We really don't want to develop a report for this because of the bulk of it for medium and larger agencies. This is an example of one that I took at random just now - customer name is not shown - but you can see that the notification letter was mailed on 12/11.

Contacts

Notes

Applications

Jobs

Related

CSD Change Requests

Mailing Address

Line 1: 345 CROSS AVENUE

Address # Address Street/P.O. Box Street Type

Line 2: APARTMENT 3

Building Type Unit Number

Line 3: 93905 SALINAS MONTEREY CA

Zip Code City County State

Contact Information

Home Phone: 831 682-0650

Area Code Phone Number Ext

Message Phone: () - -

Number Ext

Mobile Phone: () - -

Number Ext

Other Phone: () - -

Number Ext

Email Address:

Best Time to Call:

Contacts

	Contact Date	Contact Type	Contact Action	Call Code	Language	Notes	Mailing Code	Mailing Date
	12/26/2015	INCOMING	STATUS - MAILED APP REQUEST	STATUS REQUEST	ENGLISH			
	12/23/2015	INCOMING	STATUS - IN PERSON APP REQUEST	STATUS REQUEST	ENGLISH			
*	12/21/2015	OUTGOING	DEFICIENT APPLICATION PROCESS	NO ACTION REQ - RECORD ONLY	ENGLISH		HW - DEFICIENT WSAG	12/21/2015
	12/17/2015	OUTGOING	PROGRAM/APPLICATION INFO GIVEN	NO ACTION REQ - RECORD ONLY	ENGLISH	ADDED FROM APPLICATION ENTRY	AX - ASSURANCE 16 ONLY - (W/O) WSAG - (W/O) CARE	12/17/2015
	12/10/2015	INCOMING	HEAP APPLICATION RECEIVED	NO ACTION REQ - RECORD ONLY	ENGLISH	CONTACT ACTION ADDED FROM APPLICATION RECEIVING SCREEN	NL - WRITTEN NOTIFICATION LETTER	12/11/2015

Do you have any thoughts about this?

Thanks,
D

Dennis Osmer
831-761-7080 x132

From: Andry, Kathy@CSD
Sent: Thursday, December 24, 2015 2:55 PM
To: 'Dennis Osmer'
Cc: Hart, Kristen@CSD; Fernandez, Che@CSD
Subject: RE: 15 Day Solution

Hi Dennis,

Based on my review of the client notification feature you are proposing to implement in the ServTraq© system (as outlined in the attached document), it does offer a solution to those agencies who are currently unable to meet the 15 working days requirement be in compliance; as long as a written notification is provided within the 15-working days.

Thanks.

Kathy Andry
Deputy Director of Energy & Environmental Services
Department of Community Services & Development
(916) 576-7132

Attachment 2: ServTraq 15 Day Solution

The user locates (or adds) the customer in the database, and marks the application as “received” in the system.

The screenshot shows the 'Incoming Application Processing' screen in the ServTraq system. The left sidebar contains navigation links: Home, Contacts, Incoming Application Processing (selected), Customer Search/Contact Entry, Callbacks, Customer Contacts, HEAP, Weatherization, Inventory, Reports, Analytics, and Administration. The main area has a search form with fields for Barcode, Name (JULIE, GARCIA), Social Security Number (123-45-6789), Mailing Address (Street #, Street Name, Unit Number, Zip Code, City), and Mail Zip/City. Below the search form is a table with buttons: New Customer, Edit Customer, Receive Application (highlighted with a red box), Print Barcode, Refresh List, and Export List. The 'Search Results' table shows one entry for JULIE GARCIA with SSN 123456789, Date of Birth 1/1/1990, Mailing Address PO BOX 2707, Mail City SALINAS, and Mail Zip 93906.

A *contact entry* is posted to the customer record tracking the receipt of the application along with a code for the notification document to be made available to the customer. *Note: This is only an acknowledgement of receipt, the application as this stage has not been processed for eligibility.*

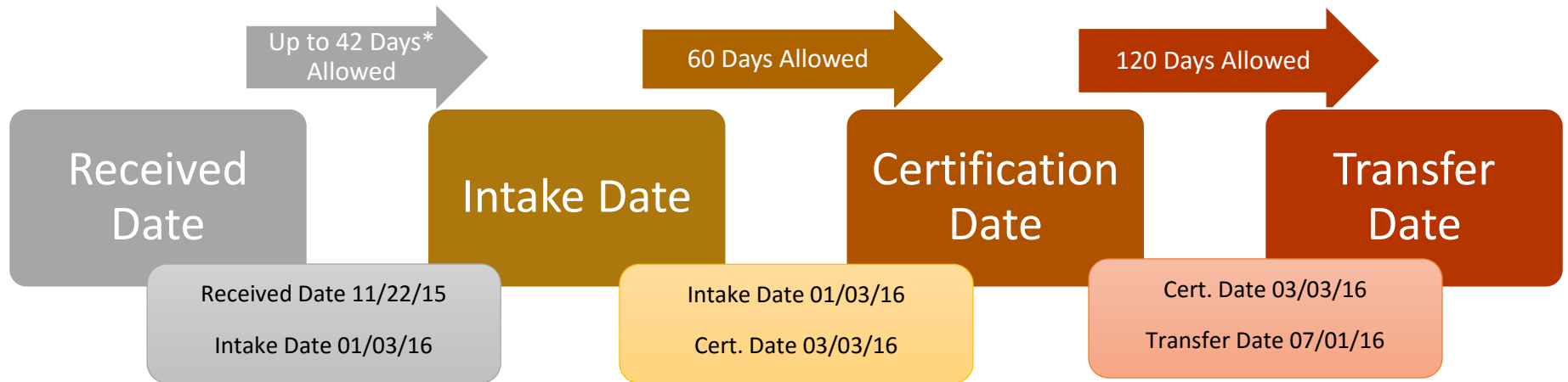
The screenshot shows the 'Contact Entry' form in the ServTraq system. The form includes fields for Mobile Phone, Other Phone, Email Address (julia@yahoo.com), and Best Time to Call. Below the form is a table titled 'Contacts' with columns: Contact Date, Contact Type, Contact Action, Call Code, Language, Notes, Mailing Code, and Mailing Date. The table shows one entry for JULIE GARCIA with a mailing date of 1/27/2016.

A mailing date is posted to the receipt contact entry when the user processes mailings and marks records as being sent. ServTraq mailing envelopes, labels, or e-mails can be generated from the system. Notification letters made available to walk-in customers may not be registered in ServTraq as having a mailing date.

The screenshot shows the 'Contact Entry' form in the ServTraq system. The form includes fields for Email Address (julia@yahoo.com) and Best Time to Call. Below the form is a table titled 'Contacts' with columns: Contact Date, Contact Type, Contact Action, Call Code, Language, Notes, Mailing Code, and Mailing Date. The table shows one entry for JULIE GARCIA with a mailing date of 1/27/2016.

Attachment 3: 2016 UA Applications Reviewed for CSD Compliance Check

2016 Utility Assistance (UA) Applications transferred to CORE may have been received prior to the CSD 15 Day Written Notice requirement effective date (1/1/16). Based on the maximum time allowed between dates, an application transferred to CORE in July 2016 could have been received in November 2015 if the maximum time allotted between dates was used.



*Documents received within 42 days of verification expiration date.