

Louisiana Governor's Office of Homeland Security and Emergency Preparedness

Shelter at Home Program

Policies and Procedures
Manual

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Overview – Louisiana Governor’s Office of Homeland Security and Emergency Preparedness (GOHSEP) Shelter at Home (SAH) Program

Due to the August 2016 flooding in Louisiana, approximately 100,000 residential dwellings were impacted within the 22 federally declared disaster areas. Many dwellings sustained flood-related damage and are still without power, air conditioning, hot water or necessary repairs required to make them safe for residents. The flooding inside of homes ranged from a couple of inches of water to water up to the roofline. While a portion of the property owners have had the resources to make temporary or permanent repairs to their properties since the storm, many have not. This leaves thousands of Louisiana residents without acceptable living conditions and many remain displaced from their residences.

SAH focuses only on single-family owner occupied residential properties which can be quickly made habitable allowing individuals to return to their dwellings to shelter at home. SAH is not a comprehensive repair program and will not result in the complete restoration of the dwelling. The measures taken through SAH are designed to halt the progression of deterioration of the dwelling as the result of the August 2016 Flood and provide minimal steps necessary to render the dwelling safe and sanitary. If a home cannot be made safe and habitable for shelter purposes for less than \$15,000, inclusive of the \$500 permissible small appliance option as outlined in the FEMA Recovery Program Guidance, that property is not eligible for SAH assistance, unless otherwise authorized by the State. This program reduces the demand for more costly shelter options and allows individuals to return to their homes to commence restoration. Additionally, this program reduces the immediate public health and safety threat created by prolonged exposure to heat and the growth of mold; both of which worsen respiratory and cardiovascular conditions.

Louisiana anticipates receiving up to 30,000 applications with approximately 13,500 homes eligible for repair. Work under this program will be generally consistent with conducting emergency protective measures pursuant to the Stafford Act, as amended (42 USC 5121). Because of the number of displaced residents, and the ensuing temporary housing crisis, as well as the large number of people remaining in their homes without adequate utility service, the AECOM Team implemented the program on the day following its award of the contract.

SAH Contractors are expected to be able to complete all work orders by December 31, 2016. The State desires to have as many people as possible back in their homes by year’s end. To maximize work efficiencies, the State reserves the right to adjust workloads among the contractors on a weekly basis depending on performance, until all properties eligible for the program are complete.

Assessments of damaged property will be coordinated by the AECOM Team to verify damages, eligibility of property and scope of SAH measures to be performed on the dwelling in accordance with program guidelines, as may be amended. Assignments of work orders will be made by the AECOM Team to various contractors procured by the State.

AECOM was retained to provide Program Management support to the State to help manage and control this massive effort to deliver minor, critical clean-out and repair services on a large scale so homes can be quickly made habitable, allowing individuals to return to the dwellings to shelter at home.

The AECOM Team envisions the SAH Program working as follows:

- Phase 1: Mobilization
- Phase 2: Outreach
- Phase 3: Application Intake and Eligibility
- Phase 4: Contractor Assignment
- Phase 5: Initial Site Visits
- Phase 6: Construction and Final Site Visit
- Phase 7: Project Close Out

This Policy and Procedure Manual (P&P) cascades down from the SAH Work Plan submitted to GOHSEP on September 4, 2016 and attached to this document as Appendix A.

Phase 1 Mobilization

The AECOM Team immediately assigned and deployed staff from the local Baton Rouge office into pre-designated office space on the first and third floors of the Bon Carre Business Center on Florida Boulevard in Baton Rouge. The 30,000 sf of office space with all data and voice connectivity began operating the SAH Call Center on August 29, 2016 with local Customer Service Representatives. SAH training sessions and key team members assigned to SAH mobilization are also operating out of this office. GOHSEP approved training and script for Customer Service Representatives are being utilized for phone intake with applicants. Additional training will be provided to all staff as policy and procedure changes dictate.

Face-to-face meetings may not be possible or necessary due to the urgency of getting homes back to a livable state. Therefore, most interaction will be online and via telephone. Additional interactions may be conducted when damage assessors are onsite as each homeowner will need to execute a Legal Right of Entry and Indemnification Form. This form will also be available online as part of the application information. Additionally, AECOM will work with GOHSEP to identify the level of need and potential sites for mobile intake centers.

As part of the AECOM Team's mobilization and ramp up, local recruitment has been a focus so that the affected residents are a part of, and can contribute to their own community's recovery.

A Section 3 policy was established by Congress to ensure that employment, job training, and other economic opportunities that arise from federal funding for housing and community development programs should be directed to low- and very-low income persons.

In Section 3 of the Housing and Urban Development Act of 1968 and implemented in 24 CFR 135 are specific requirements for HUD programs. While the AECOM Team is dedicated to hire personnel that meet the requirements for Section 3 specifics, unless the program mixes HUD funding with the FEMA funding, there is no specific requirement for including the information in the compliance plan. AECOM intends to gather records of our hiring procedures with regards to these personnel; however, we see no need, at this time, to have specific reporting functions addressing Section 3 requirements.

It should be noted that AECOM has not initiated Section 3 oversight of GOHSEP construction contractors, and AECOM does not regard this as part of its current contract scope of work. However, in support of fair wage commitments by GOHSEP, SAH are conducting interviews with construction contract labor to determine if fair wages are being paid for work on the SAH program. Similarly, because such requirements have not been triggered, and there is no scope of work in the Contract between Louisiana Governor's Office of Homeland Security and Emergency Preparedness (GOHSEP) and AECOM for Program Management Services for Disaster Grants for SAH, AECOM and SAH staff are not evaluating Davis-Bacon compliance and are neither conducting interviews nor requiring/collecting/reviewing certified payrolls for prevailing wage standards. AECOM presumes that GOHSEP's contract with its construction contractors contemplated Equal Employment Opportunity (EEO) as part of contractor selection.

The AECOM Team will hire MBE/WBE/DBE businesses and will encourage program contractors to do the same.

Key Tasks for Mobilization include:

- Program Policies and Procedures Development
- Data Management System Development
- Development of a Project Process Flow Chart
- Standardized Program Forms Development
- Badging for Staff and Contractors
- Signing of FEMA provided confidentiality agreement by all Contractor program related staff (when document is provided by Client)
- Development of Minimum Standards
 - Construction

- Quality
- Safety
- Compliance
- Customer Service and Contractor Training Workshop
- Applicant Interface
- Applicant File Setup

1.1 Program Policies and Procedures Development

The AECOM Team has developed this Policy and Procedures Manual (P&P) pursuant to its contract with GOHSEP. The purpose of the P&P is to include a step by step process for those SAH Program Phases identified in the Work Plan.

Procedure:

- The AECOM Team will follow this SAH P&P in the administration of the SAH Program.

Program Policy and Guidance Changes/Updates

Due to the nature of this expedited housing program, and in order to fulfill the spirit of AECOM's contract terms, policy memos, emails, meeting minutes from GOHSEP and FEMA will be incorporated into this manual as part of the SAH policies and procedures. Documents developed and submitted by the AECOM team for concurrence from GOHSEP will be placed in a review period of five calendar days, and passive consent in lieu of express written approval of GOHSEP will allow their utilization/implementation.

1.2 Data Management System Development

Throughout this Program GOHSEP and the AECOM Team will require real-time, data-driven insights into overall program delivery. This data is necessary for any disaster recovery program to be successful, and the AECOM Team developed a data management system that captures each applicant's status from the time of Intake to File Close Out.

Key Functions of this Data Management System (DMS) include:

1. Integrating data from an online portal created by GOHSEP for enrollment and eligibility.
2. Creating a Scheduling Module for Initial Site Visits and Final Site Visits.
3. Integrating a Document Repository.
4. Developing an Issue Tracking Module.
5. Creating a Web Portal for Damage Assessments.
6. Generating Reports and Metrics.

The DMS serves as the system of record and is a key component for efficient processing, compliance monitoring, reporting and document management. The system of record facilitates end-to-end tracking of applications with full transparency of status at each stage. The "Golden Rule" is that each applicant file must tell the story. This means that each eligibility determination must be accurate and supported by the required documentation. The system of record captures project data and incorporates audit items and internal controls.

Using this system, each customer service representative and case manager is able to provide quality customer service by having access to timely and accurate updates from initial intake through file close out. Our system allows our case managers to work in a proactive manner rather than a reactive manner by identifying critical information that is needed to maintain progress in the processing of an application. This system of record will contain the information and supporting documentation required for reporting under the Sheltering and Temporary Essential Power (STEP) Pilot Program to include the following information:

- Owner/occupant’s name and address
- FEMA Individual Assistance registration number, if applicable
- Legal Right of Entry and Indemnification Form
- Photos of storm-related damage
- Damage description and scope of work required
- Work orders for each property describing costs and specific work performed at the property (i.e. debris removal, dry wall removal, installation of air conditioning units, etc.).

Much of this information will be requested through the application process. As information is available, the case managers will ensure that the system of record is updated to reflect the most accurate and current information. Customer service representatives within the call center will have access to the system to ensure that applicants receive a real-time status of their applications as they move through the verification process.

During construction, the AECOM Team utilizes a mobile application for field personnel to remotely enter data related to activities at each home. Data entered in the field updates in the system by end of day and allows the rest of the team to view updated activities and provide applicants with the latest status when fielding queries.

The DMS will collect and store all information in accordance with the State of Louisiana Information Security Policy, found at <http://www.doa.la.gov/Pages/ots/InformationSecurity.aspx>

Procedures for using the Data Management System will be discussed in the following sections: Application Intake and Eligibility, Contractor Assignment, Construction Oversight, and Project Close Out.

1.3 Development of a Project Process Flow Chart

The AECOM Team has developed a Project Process Work Flow Chart. The flow chart is included in this P&P manual as Appendix B.

1.4 Standardized Program Forms Development

Program documents that may be used during the Intake and Eligibility Phase are listed below and included in the Appendix, if available:

- Intake Application
- Legal Right of Entry and Indemnification Form
- Program Fact Sheet (attached separately as Appendix M)

Available Intake and Eligibility Phase Forms are included as Appendix C.

1.5 Badging for Staff and Contractors

The AECOM Team has created a badge for the SAH Program for all Staff and Contractors.

An image of the badge to be used for the damage assessors or those in the field for this program is below.



An image of the badge to be used for office staff in this program is below.



1.6 Confidentiality Agreement

The AECOM Team is awaiting the FEMA Confidentiality Agreement from GOHSEP.

The AECOM Team requires all staff to sign the SAH Program Confidentiality Agreement attached as Appendix D.

1.7 Conflict of Interest and Personal Identification Information (PII) Policy

This policy provides guidance on the handling of SAH applicant files in which an employee or contracted employee/representative is the actual applicant or in which the applicant is a member of the employee's immediate family, a close personal friend, or anyone with whom the employee has a contractual or financial relationship.

Immediate family members include a spouse, parents of a spouse, children and their spouses, grandchildren and their spouses, parents, grandparents, siblings and their spouses, and any relatives living in the employee's household.

Under no circumstances is a SAH employee or contracted employee/representative to handle application packages that are within these perimeters. A SAH employee or contracted employee/representative who works on an applicant file that falls into this category is considered to have a conflict of interest. Deliberate conflict of interest actions may result in disciplinary action, up to and including termination.

In the event an SAH employee or contracted employee/representative is assigned an applicant file where a conflict of interest exists, the employee must notify his/her manager immediately. The manager will transfer the file to another manager for further processing.

PERSONAL IDENTIFICATION INFORMATION (PII)

PII encompasses a great deal of information about a given individual, to include publically available information. SAH recognizes a distinction between Public and Private PII and the need to protect Private PII. All SAH employees, contract staff, student workers and program contractors, including contractor employees and subcontractors, are responsible for protecting the PII of any applicant, co-applicant or individuals associated with the program.

SAH defines PII as any information that permits the identify of an individual to be directly or indirectly inferred, including any information that is linked or linkable to that individual, regardless of whether the individual is a U.S citizen, lawful permanent resident, visitor to the U.S. or employee or contractor to the Department. Also, SAH defines Private PII as any information that is never advertised or released to un-trusted parties and contains the type of information that could be used to perform identify theft and defines Public PII as any information that contains name(s), address(es), (physical and email) and phone number(s) which are available as advertised through such publically available sources as phone books, business cards, etc. The context of PII determines if the information is public or private. Information that is maintained by an employer as a standalone document (i.e., social security number) or linked to other PII information should always be considered Private PII and should not be disclosed to anyone. Public PII is information found in a phone book or on a business card but is considered Private PII when combined with other Private PII information. For example, an individual's first name or initial and last name in combination with any one or more types of information, including but not limited to, driver's license number, FEMA Registration Number are considered Private PII.

This policy provides specific examples of Public and Private PII and the circumstances in which PII can be shared. However, this document is not intended to be all-inclusive and any questions should be directed to the SAH supervisor.

Private PII

The following information, when maintained by SAH, regardless if it is a standalone document or linked with other PII or contextual information is considered Private PII and should not be communicated or shared with anyone:

- Individuals FEMA Registration Number
- Driver's License Number or state identification number
- Flood Insurance Policy Information

Note: the above list is not intended to be a complete listing, for any item(s) not covered or any questions please contact the SAH Supervisor.

Sharing Public PII

The information provided below is considered public PII, and can be communicated and/or shared with Contractors, as long as the information is not linked with other Private PII Name

- Address
- Email address
- Phone number

Note: the above list is not intended to be a complete listing, for any item(s) not covered or any questions please contact your SAH Supervisor.

Combining Private and certain Public PII which could result in identity theft is considered Private PII and should not be discussed or electronically shared with anyone. For example, an individual's first name or initial and last name in combination with any one or more types of information, including but not limited to, social security number, driver's license number, passport number, credit card numbers, bank numbers, biometrics, date and place of birth, mother's maiden name, criminal history, medication and financial records, educational transcripts etc., would be considered Private PII.

Sharing Applicant Program Information

SAH Representatives and Contractors will communicate, verbally or electronically, any information that relates to an applicant or co-applicants applications as long as the information being shared is with the applicant's verified contractor of record and does not include private or third party information identified above. SAH will also share applicant information with other state and federal agencies in order to process the applicant. The below list is not intended to be a complete listing of Applicant Program Information that can be shared please contact the immediate SAH Supervisor with any questions.

- Applicant's contact number
- Program generated forms to be used by Contractors and homeowners
- Cannot be a form intended for SAH internal use only

For any and all mass email communications to applicants, the SAH Representative must identify the sender as the principle recipient and all applicant recipients are blind carbon copied (bcc) on the communication to protect the PII of the applicants in this program.

DEFINITIONS

Personally Identifiable Information (PII) - any information that permits the identify of an individual to be directly or indirectly inferred, including any information that is linked or linkable to that individual, regardless of whether the individual is a U.S citizen, lawful permanent resident, visitor to the U.S. or employee or contractor to the Department

Private PII - is information that never advertised or released to un-trusted parties and contains the type of information that could be used to perform identify theft

Public PII - information that contains the name(s), address(es) (physical and email) and phone number(s) which are available and advertised or released through such publically available sources as phone books, business cards, etc.

Communicate - to verbally communicate applicant information, as it relates to their LASAH Activity.

Electronically Share - to submit applicant information, as it relates to their LASAH Mitigation Activity, electronically through email or over the internet.

SAH Customer Service Representatives and Case Managers are required to sign a PII Certification Document that states the following:

I acknowledge that I have received a policy memorandum that explains what constitutes Personally Identifiable Information. I acknowledge that I understand that as a Program designee, I am bound to hold all Personally Identifiable Information confidential. I understand that violation of the policy memorandum will be grounds for immediate termination of employment.

A copy of the PII Certification Document is included as Appendix E.

1.8 Development of Minimum Standards

Development of minimum standards is an essential part of the mobilization of any program. Specifically the following areas of the program require development of Minimum Standards:

1. Construction
2. Quality
3. Safety
4. Compliance

While minimum construction standards will be covered later in this document, the SAH Health and Safety Plan is included in this P&P manual as Appendix F. Also, Quality and Compliance minimum standards are covered in the Compliance Plan included in this manual as Appendix G.

1.9 Training

1. Call Center Training: Call Center Training took place on August 28, 2016. Training will be required for all Customer Service Representatives prior to working on this project. As changes are made to the program, training updates are provided to the Customer Service Representatives. The presentation for this training is included as Appendix H.
2. Case Management Training: Case Management Training was provided for all case managers on this project. As Customer Service Representatives transition to Case Managers they are required to attend this training. The training package was composed of the documents listed below and is included as Appendix I:
 - a. Acceptable Document List
 - b. Affected Parishes List (included separately as Appendix O)
 - c. Answers to Commonly Asked Difficult Questions
 - d. Call Center Script
 - e. General Process Flow
 - f. Media Inquiries Sheet
 - g. Phonetic Alphabet List

As changes are made to the program, training updates are provided to the Case Managers.

3. Damage Assessor Training: All Damage Assessors who would be performing either Initial or Final Site Visits attended a training prior to working on this project. This training covered health and safety as well as observation and documentation procedures. The training also demonstrated the use of the mobile tablet based application during site visits. As changes are made to the program, training updates are provided to the damage assessors. A copy of the presentation for this training is included as Appendix J.
4. Contractor Training:
 - a. The Contractor Training Workshop took place on September 6, 2016. The training was administered to the current pool of eligible contractors procured by the State. If new Contractors are procured they will also be required to be presented the Contractor Training Workshop. The presentation given for this training is attached as Appendix K.

- b. A separate contractor training was held to explain the process for payment to contractors. Sample documents provided during the contractor payment training are listed below and included as Appendix L:
 - i. Contractor Invoice
 - ii. Legal Right of Entry Forms
 - iii. Homeowner Release of Responsibility to Program for Retained Materials in Home
 - iv. Applicant's Acceptance of Scope of Work
 - v. Scope of Work Form
 - vi. Scope of Work Modification Form
 - vii. Final Assessment Acceptance Form
 - viii. Contractor Executed Work Order

1.10 Applicant Interface

The AECOM Team began operating the SAH Call Center on August 29, 2016 using local Customer Service Representatives. As call volume begins to decrease in the Intake Center, the Customer Service Representatives will transition into Case Managers and begin working on the Case Management Phase of the program. In the beginning of the Program the Call and Intake Centers were open to applicants from 7:00 a.m. to 7:00 p.m. seven days a week. As the volume of incoming applicants continues to recede, these hours continue to be adjusted.

1.11 Applicant File Setup

Each Applicant file will be created by the Case Manager prior to the initial contact. Details on the applicant file setup are included later in this document under the Application Intake and Eligibility Phase.

Phase 2 Outreach

The AECOM Team provided GOHSEP with an Outreach Plan on September 4, 2016. The following is the overview of our initial plan for outreach. A copy of the approved Outreach Plan is attached as Appendix M.

We have developed an aggressive, community based grass roots outreach campaign to reach populations that are typically hardest to reach and most vulnerable. We have launched an effective outreach strategy that informs potential applicants through several communications/media outlets such as a designated website, radio advertisement, social media, newspapers of general circulation, non-profit organizations, churches, charitable organizations, employers and other community based organizations as to the process for applying to the program. More specifically, this plan calls for the following outlets:

- Websites/Social Media: GOSHEP website, Facebook and Twitter are the immediate forums that can reach a broad population with immediate feedback at minimal cost.
- Radio (if necessary): Targeted advertising and talk show appearances by State Officials will be designed to address the geographic and population diversity in the service area, e.g., gospel, country, talk and news and youth oriented stations.
- Newspapers (if necessary): Paid advertisements in large daily newspapers, local county and minority papers will announce the program, list eligibility requirements, and intake information, (e.g., location, times, and dates).

- Television advertising (if necessary): Consider using television spots as we have done in the past to announce the program, intake locations and eligibility requirements. We suggest using unearned publicity using news stories and talk shows where we prepare State Officials with briefing points.
- Area specific outreach: We will utilize local partners and other community-based organizations to distribute print material such as flyers and church bulletin inserts. Specific outreach efforts will be made through targeted media buys and community outreach to populations for whom English is a second language.

Additionally, we continue to work in tandem with other disaster relief programs to disseminate information and to assist affected citizens with the application process. We believe that the message regarding this Program should be consistent and standard. We will work alongside GOHSEP to develop a clear and concise message designed to simplify the process and to engage affected citizens with the application process. After the initial outreach, the focus will shift to applicant relations and constituent services.

In accordance with our contract terms, the AECOM Team will not issue any public communications regarding the SAH program without the prior express written approval of GOHSEP.

The AECOM Team will not use the Department of Homeland Security (DHS) seal(s), logos, crests or reproductions of flags or likeness of DHS agency officials without specific FEMA approval.

The AECOM Team will label all publication created with funding under this program with the following statement: "This Document was prepared under an agreement with the United States Department of Homeland Security's Federal Emergency Management Agency. Points of view or opinions expressed in this document are those of the authors and do not necessarily represent the official position or policies of the U. S. Department of Homeland Security's Federal Emergency Management Agency."

As part of the outreach effort, the AECOM Team disseminates Program Fact Sheets to get the program details out to the affected population. Two versions of the program fact sheet and a program brochure are attached to this document in Appendix N.

Disability/Hearing Impaired Accommodation

The AECOM Team will make every effort to accommodate any person with a disability or impairment who needs access to the Shelter at Home Program. In coordination with FEMA, AECOM will ensure that interpreters are provided during all events as well as on all site visits to applicant homes.

Phase 3 Application Intake and Eligibility

The method to document intake and eligibility begins with the intake and application preparation process which is all contained within the system of record. The process is designed such that the system of record requires that each eligibility determination be linked with the supporting documentation. The process further requires a review by an independent reviewer for a quality and completeness check which is part of our overall three-tiered quality review process.

3.1 Call Center & Intake Operations

The AECOM Team began operating the SAH Call Center on August 29, 2016 using local Customer Service Representatives (CSR). The Call and Intake Centers were initially open to applicants from 7:00 a.m. to 7:00 p.m. seven days a week. As the volume of incoming applicants continues to recede, these hours continue to be adjusted.

The Intake Call Center 1-800 number is 1-800-927-0216. This number originally pointed to 36 different lines. As the number of calls have decreased, the number currently points to 21 different lines. The opening greeting directs applicants to the online application process then incoming calls will hit all 21 lines. The first person to pick up takes the call and the other lines drop off.

To help the CSR with questions during the intake process, the AECOM Team will have floating task leads available to assist.

Recognizing the challenges of serving the impacted citizens of Louisiana in their moment of need, CSR's are expected to conduct themselves in a professional and courteous manner. Cases should be referred to task leads as necessary.

Each CSR is responsible for signing the Personally Identifiable Information (PII) Certification Document.

Each CSR desk will have a phone and a computer with internet access to the data management system. To prepare each CSR for what may be asked on each call, CSR are provided a document titled "Answers to Commonly Asked Difficult Questions". To assist callers in determining whether they are located in an eligible parish, CSR are provided a list of the current affected Parishes which is attached to this manual at Appendix O. All data collected on the calls are recorded by the CSR in the Data Management System.

Intake Procedure:

- The role of the CSR is to answer basic question, collect the applicant's contact information, and provide them with a method to submit their documentation for consideration.
- Incoming Call Script:
 - CSR: Thank you for calling the Louisiana Shelter at Home Program, this is (NAME). May I please have your name and a good call back number in case we are disconnected?
 - CSR: Thank you. Are you calling to submit an application for this Program?
 - If Yes: Are you familiar with our online application system at www.shelterathome.la.gov? Would you like to submit your application through that process?
 - If able to apply Online: Great! Once we receive your information through our online system, we will assign your file to a Case Manager, who will work with you on providing a minimal amount of the required documentation for your eligibility review. A list of those documents can be found on the website, along with different options for submission
 - If not able to apply Online: CSR will take application data via the call as follows:
 - May I please have the correct spelling of your first and last name?
 - Do you have another household member who you would like to add to your file as an additional point of contact? (spouse/partner/another adult in the household who is a good point of contact)
 - May I please have the correct spelling of your address with the City, State, Parish and Zip code?
 - May I please have up to the three phone numbers where we may reach you?
 - Is there a good email address or two I can put in your file?
 - Is the property a single family home with single occupancy? (If not..."How would you describe your home?")
 - Have you received a recent FEMA Application ID number, also called your Registration ID? Will you provide that number? Has a FEMA inspector been to your home?
 - Approximately how many inches or feet of water did you receive in your home?

- Will you be able to provide proof of ownership to your Case Manager?
- Is there a flood insurance policy for the affected property?
- Okay, at this point I have entered all of your information into a custom record for you. Your file will be transferred to a Case Manager, who will work with you on providing the documentation required for your eligibility review. If you would like to go ahead and send your information to us, you can mail it to us at our PO Box or email to us at documents@lasahp.com (please use your last name and address as the subject). You may also fax to us at 1-800-927-2016. You can also hand deliver at our 7389 Florida Boulevard, Baton Rouge 70806. With all of these submission options, please make sure to include your name, address and phone number on a cover sheet. (Refer to required document list attached to this manual as part of Appendix I.)
- Thank you for your application. Is there anything else I can do for you at this time?
- If not calling to apply: Okay, how may I assist you?
 - If calling for status, let them know we are reviewing all files and making assignments to case managers.
 - If calling for media inquiries, refer them to the Call Center lead; these will be reviewed internally before routing to GOHSEP.
 - For calls from state representatives or other public officials, refer to our Constituent Services Liason at 225-922-5758.
 - For other inquiries, refer to management.

3.2 Case Management & Eligibility

After receiving the applicant's SAH Program Application via the web portal or the data is taken from a CSR and entered into the Data Management System (DMS), the applicant is assigned a Case Manager (CM). The role of the CM is to help an applicant work through the process of the SAH Program. The CM will collect required documentation, establish initial contact with the applicant, answer questions about an applicant's file or project status, determine initial eligibility, provide information to the construction team so the applicant's project can be scheduled for damage assessment, and begin collecting documents for project completion. The contents of a close out package are discussed further in this document under Phase 7 Project Close Out.

Procedure for using FEMA data to determine Eligibility:

- The AECOM Team emails FEMA a list of applicant names. FEMA returns the list and identifies whether any of the applicants on that list have already been determined eligible by FEMA and have provided FEMA with the appropriate documentation to support the ownership and principle residency eligibility requirements. If FEMA checks "yes" on providing both ownership and principle residency documentation, then the applicant is eligible for this program and no further documentation must be provided at this time. The AECOM Team is not required to collect these documents from FEMA, and the email will serve as documentation that those applicants are eligible.
- For applicants that FEMA does not identify as having provided both ownership and eligibility documentation, the CM will collect all required documents to establish eligibility.

File Creating Procedure:

- Before initial contact with the applicant, the CM will create a file, specific to the applicant, to store all documentation associated with the applicant's project.

- All Files will be saved using the following naming convention: LASAHXXXXX_LASTNAME_DOC TYPE
 - OWN – Proof of Ownership
 - RES – Proof of Primary Residence
 - ROE – Right of Entry
 - Photos – Photos of Damage
 - SOW – Scope of Work Performed on the Structure
 - POP – Proof of Payment (close out document)

Procedure for Determining Eligibility:

- In order to determine initial eligibility, CM must verify and/or obtain the following information/documentation:
 - Verify the applicant's home is located in one of the declared parishes (Appendix O)
 - Obtain Proof of Ownership: (acceptable documentation includes the following)
 - Tax Bill (Preferred)
 - Each CM is given a list of links to each affected parish website to use for this verification
 - The CM will first attempt to collect the tax document online to ease the burden of documentation that must be provided by the applicant and to expedite the processing of the applicant's eligibility.
 - Building Insurance
 - Official Records – notarized document confirming long-term ownership. An original deed or deed of trust to the property listing the applicant as the legal owner.
 - Mortgage Payment Book
 - Affidavit or Title Number after viewing an official government document verifying the home address and applicant to own the dwelling
 - Obtain Proof of Primary Residence: (acceptable documentation includes the following)
 - Driver's License (Preferred)
 - Utility Bill
 - Merchant's statement
 - Voter's Registration Card
 - Employer's Statement
 - Signed Legal Right of Entry (ROE) Form - this form authorizes entry, inspection and provision of emergency protective measures to the applicant's property.

There are currently five (5) methods by which an applicant can submit the required documentation:

1. Email – documents@lasahp.com or email the case manager directly
2. Fax – 1-800-927-0216
3. Mail to P.O. Box – LA SAHP Program, P O Box 66097, 4500 Government Street, Baton Rouge, LA 70806
4. Hand Deliver – 7389 Florida Boulevard, Baton Rouge, LA 70806
5. Damage Assessors –may collect documentation from applicant when appropriate.

The CM will check the share drive and the documents email box for previously submitted documentation before contacting the applicant.

When documents are received, the CM will make initial contact with the applicant to review documents received, next steps in the process and to answer any questions.

Initial Contact Procedure:

- Initial Contact Script
 - CM: Good morning my name is (NAME) calling from the Louisiana Shelter at Home Program, I am your CM that has been assigned to help you complete your project. I would like to give you my contact information in case we get disconnected (If the applicant has the ability to take your name, phone number, and email address, give it to them at this time).
 - Once the CM has established initial contact with the applicant, it is very likely that the applicant may have additional questions about the program. Some of the questions which they may ask are listed below. The CM should only answer questions which they are sure of the answer. If the CM is unsure of an answer, they should ask a supervisor.
 - Answers to Common Questions:
 - ***I already submitted a FEMA application. Is that the same thing?*** No, your FEMA application is separate from the Louisiana Shelter at Home Program.
 - ***Am I eligible?*** A case manager will work with you on your file and eligibility determination.
 - ***When will I hear back?*** I do not have a good timeframe to provide, but we are processing all applications in the order they are received.
 - ***How do I qualify?***
 - Be in one of the 22 declared parishes
 - A damage assessor will determine if your home can be made safe and habitable with a cost of not more than 15,000.
 - Must own the property
 - Must be your primary residence

- Other site-specific requirements as noted in the FEMA guidelines
- ***If I don't qualify, what are my options?*** Apply for temporary housing assistance via through FEMA online at www.disasterassistance.gov or 1-800-621-3362
- ***How do I get a FEMA trailer?*** Let them know this is an alternative for the FEMA trailer, but they can reach out to www.disasterassistance.gov and apply online if they would like to proceed with applying for a FEMA trailer.
- ***For calls to ask about their status, requests for confirmation that application was received, or calls to see if their documents were received*** - the assigned Case Manager will contact the applicants in the order their application was received. We don't have the ability to do that in the call center.

Quality Control:

Every document that is entered into the DMS follows the three-tier eligibility QA/AC Process. The document is verified at three different times throughout the process for accuracy and completeness. The document is initially uploaded into the DMS by Damage Assessor or Case Manager. Then, each document must be verified by another staff member for QA/QC. If document is good, the QA/QC box is checked. Later, when the file is complete, each document is then verified a third time to prepare the close out package. Once the close out review is complete and the box is checked, the close out package is automatically generated.

Initial Eligibility Complete

Once all documentation has been collected and the applicant has been determined to be initially eligible, the CM will mark the file as "Eligible" in the DMS. At this point, the applicants file will transition to the construction team to schedule and perform the Initial Site Visit. When construction has completed, the file will then be transferred back to the CM for packaging of the Close Out documents.

Inactive Status Due Diligence Process

A limited timeframe exists to process homeowners for the Initial Site Visit and receive a signed ROE form prior to the October 15th ROE Complete deadline. To expedite this process, and ensure timely completion and efficient case management, a due diligence process will be utilized to determine homeowner participation.

Due Diligence Procedure:

- Case Manager attempts contact 1 by email or phone number. Leaves a message if available. All correspondence is noted in the notes section of the DMS.
- Case Manager attempts contact 2 by email or phone number. Leaves a message if available. All correspondence is noted in the notes section of the DMS.
- Case Manager attempts contact 3 by email or phone number. Leaves a message if available. All correspondence is noted in the notes section of the DMS.
- After 3 unsuccessful contact attempts to all homeowner's contact information without a return call or effort from the homeowner within a 7 calendar day span of time, a certified withdrawal notice will be mailed to the address of record for the homeowner. The withdrawal letter will note three attempts to contact homeowners. If the certified mail notice is returned undeliverable, the homeowner will also be withdrawn.

3.3 Duplication of Benefits

The effect on receiving other assistance under this program is as follows:

1. The SAH Program assistance is temporary in nature and is an emergency protective measure; therefore, SAH emergency protective measures do not affect a FEMA's Individuals and Households Program (FEMA IHP) applicant's eligibility for financial assistance, repair, replacement, or permanent or semi-permanent housing construction assistance under section 408 of the Stafford Act and its implementing regulations.
2. Participation in the SAH Program will make a FEMA IHP applicant ineligible for further Transitional Shelter Assistance (TSA) assistance, if authorized, or subsequent lodging expense reimbursement once emergency temporary repairs are completed.

It is not believed that Duplication of Benefits will apply to this program with the exception of the TSA. As information regarding rental assistance, etc. is included in the Right of Entry form, the applicant will be agreeing with their signature allowing entry.

Even though the AECOM Team believes that this would not be a duplicative item for future programs due to its temporary nature, AECOM has always intended to keep records as to work done for each applicant and the cost of that work. If needed in the future, those records will be available.

The process for applicant appeals is described later in this document under the Appeals Policy Section.

Phase 4 Contractor Assignment

The AECOM Team has developed a contractor assignment methodology that focuses on assigning applicant projects to builders based upon the geographic region of the project. As GOHSEP expands the list of approved contractors for this program, the entire region will be equally divided geographically by the number of approved contractors. Assignments for eligible projects will be automated to the contractor responsible for a specific geographic region. The current map of dividing the area for Contractor Assignment is attached as Appendix P.

If, however, the AECOM Team observes that capacity becomes an issue for any of the program contractors, then some projects may be assigned to other builders. This secondary assignment will be based on criteria to ensure that contractors are not provided assignments above their capability or capacity to perform.

Criteria for consideration when classifying contractors includes:

- Workmanship – this will be quantified by examining the ratio of total failed Final Site Visits to total number of attempts. The builder with the lowest ratio is assigned a high success factor.
- Staffing of Superintendents – the number of superintendents available to the project dictates the success of the contractor. The more superintendents available, the greater the capacity of the contractor to oversee construction schedules, coordinate sub-contractors and perform quality assurance.
- Work In Progress – a measure of the amount of work the builder currently has under contract where a NTP has been issued, but a passing Final Site Visit has not been completed. Less work in progress means a higher capacity to contract more projects.
- Average Build Time – a measure of the total number of days from NTP to passing the Final Site Visit assessment. The builder with the lowest average is assigned a high success factor.

Other criterion that may be considered includes:

- Project Management – weekly reporting the Program Manager on requested information, material scheduling causing production delays, site cleanliness, homeowner courtesy, safety, etc.
- Document Processing – the number of errors detected on payment requests and documents returned for correction.
- Customer Service – a high frequency of logged complaints by the call center will be representative of poor customer service.

All contractors will participate in mandatory training to understand compliance with program requirements and guidelines. The contractors will also be required to participate in bi-weekly Construction Operations Sync meetings held by the Program Manger. Current operations as well as new policy determinations will be disseminated. As eligibility is completed, assignments are made to the contractor before the Initial Site Visit to avoid multiple visits by Program staff to verify or validate damage and develop proposed scopes of work.

Phase 5 Initial Site Visit

The site visit phase is conducted after it has been determined that the applicant is eligible for the program.

Tasks in this step include:

- Scheduling Initial Site Visit by the AECOM Team
- Executing Legal Right of Entry and Indemnification Form (if not yet acquired)
- Scope of Work Development used to develop the Work Order for each project
- Cost Cap Validation
- Homeowner and Contractor acceptance of the Scope of Work
- Identification and documentation of any homeowner waiver requests for specific work

Program Forms that may be used during the Initial Site Visit Phase of the SAH Program are listed below and included in this document as Appendix Q:

1. Applicant's Acceptance of Scope of Work
2. Applicant Withdrawal Form (if applicable)
3. Applicant Release of Responsibility Form
4. Scope of Work Modification Form (if applicable)
5. Applicant's Choice of Appliances Form

5.1 Scheduling the Site Visit

Procedure:

After initial eligibility is complete, applicants are provided with an eligibility notification and informed that the next step will be an Initial Site Visit by the damage assessor and the construction contractor that has been assigned their project.

The AECOM Team schedules the Initial Site Visit with the applicant, contractor, and damage assessor.

5.2 Site Assessment Procedure

Upon arriving at the applicant's home, the damage assessor will review the Program description literature and answer any questions the Homeowner may have, review the ROE with the applicant and have the ROE executed if the applicant has not already done so. The assessment of the damage will then begin and the quantities of the scopes of work developed. Only those scopes of work identified in the FEMA STEP guidance will be eligible. The damage assessor and the contractor will jointly observe, quantify and record the damage and scopes of work. The joint visit should streamline the validation of damage and alignment of the project scope agreed upon by all parties to develop into a work order.

To meet the Program's aggressive schedule, SAH inspectors initially utilized paper documentation, then transitioned to a tablet-based mobile application that allows field inspection personnel to remotely enter data related to activities at each home and provides the SAH management team the tools to monitor program performance and schedule on program-wide basis and drill-down data at the region, contractor-specific or single home level. Data entered in the field by inspectors updates in the system by end of day and allows the rest of the team to view updated activities (within a role-restricted system) and provide applicants with the latest status when fielding questions.

After all scopes have been identified and quantities established these will be applied to the accepted unit prices to develop an overall project cost. This cost will be validated to ensure that the program cap of \$15,000 has not been exceeded. Once this determination has been made, there will be a joint sign off on the damage assessment by the damage assessor and the contractor. If hazardous materials are identified by the contractor, they will be reported to GOHSEP for eligibility determination.

Procedure:

1. The contractor and the damage assessor arrive at the dwelling at the appointment time that has been scheduled with the applicant. The contractor may not start review without the damage assessor present, however the damage assessor may start the review process, Right of Entry (ROE) signing, and program review discussions with the applicant prior to the arrival of the contractor.
2. The contractor and the damage assessor identify themselves and provide credentials.
3. The damage assessor determines the identity of the applicant and verification of occupancy and ownership.
4. Damage assessor provides the ROE form for signature by the applicant prior to the start of the Initial Site Visit. Once signed, the assessment may begin.
5. The damage assessor uses the supplied program Allowable Activities form to explain the scope of the work that is allowed under the SAH program, and explains limitations and excluded activities.
6. The assessment progresses in a logical fashion, working through each room of the dwelling.
7. The identification of potential asbestos or lead by the contractor requires additional testing. Continue assessment without damaging or disturbing suspect materials and note location. Contractor will use Lead Safe Work Practices.
8. Identify special access needs (ADA accessible, special needs, special medical conditions that require specific power and/or refrigeration conditions for medicines or equipment)
9. The damage assessor and the contractor will then jointly verify the quantities of scope items on the scope cost worksheet.
10. If all program eligible work has been identified and the total cost of the emergency repair work does not \$15,000, scope of work should be approved.

11. The damage assessor, contractor and applicant will jointly sign the Applicant's Acceptance of the Scope of Work form.
12. The executed acceptance form and the scope of work form will be uploaded to the information management system of record.
13. A Notice to Proceed (NTP) will be issued on each project at a later date for each individual project.

5.3 Eligible Scope of Work Items

This program is meant to transfer residents from shelters, hotels, and relative's homes back into their home.

The SAH program provides the bare minimum necessary to get applicants back in their homes to begin the tasks of rebuilding. Eligible temporary emergency repair measures are currently capped at \$15,000 in hard costs. Any temporary emergency repairs must be reasonable, necessary, and low cost options to make the home safe for sheltering purposes.

Eligible Scope Items from the FEMA STEP Guidance may include the following:

Interior:

- Inspection and testing of electrical, HVAC, and plumbing systems.
- Removing drywall, insulation and other water-absorbing wall coverings damaged by flooding.
- Removing flood-damaged water-absorbing flooring material including carpet, carpet padding, and other materials.
- Disposing debris at the street right-of-way.
- Cleaning and sanitizing exposed floor and wall surfaces where flooring or wall coverings were removed.
- Ensuring there is one (1) temporary working bathroom in the home, which could include cleaning or fixing a bathtub/shower, toilet and sink.
- Maintaining heating and minimum air conditioning for comfort.
- Repairing or replacing damaged water heaters.
- Inspecting and repairing natural gas lines if necessary.
- Testing and repairing or replacing/installing smoke and carbon monoxide detectors.
- Providing mini-refrigerators and microwaves as necessary (The total appliance allowance will be \$500 where needed and is included in the \$15,000 hard costs cap).

Exterior:

- Taking temporary actions to weatherproof the home and prevent water intrusion; repairs could be temporary patches.
- Patching (minor and quick repairs), door hardware replacement, and replacement/repair of door jambs and headers as necessary for secure entry and exit.
- Securing broken windows with minor carpentry or hardware repairs.
- Repairing damaged front stairs or porches to allow safe entrance and exit.
- Ensuring that plumbing is connected to a sanitary sewer or approved sewerage disposal system.
- Ensuring that potable water is available and operational.

5.4 Alternative to Withdrawal if initial Scope of Work exceeds Cap

If the cost to perform emergency temporary repairs exceeds the program established maximum of \$15,000, a notice will be given to the applicant at the time of the Initial Site Visit. At this time if the property is deemed ineligible due to exceeding the cap, the damage assessor will offer to refer the home to Louisiana Voluntary Organizations Active in Disaster (VOAD). The homeowner must accept this referral, and release of personal information, in writing. The Louisiana SAH VOAD Election Form is attached as Appendix R.

In coordination with GOHSEP, VOAD is prepared to assist with basic remediation, including debris removal and gutting. VOAD participation is managed directly by GOHSEP and if the applicant consents to participate, their information will be released to a GOHSEP coordinator for further processing.

If the applicant does not elect to work with VOAD they are referred to the applicant appeals process which is described later in this document under the Appeals Policy Section

Procedure:

After a homeowner has work completed by VOAD on their home, the homeowner must contact their SAH case manager to notify them that work has been completed. A damage assessor will be dispatched to their home for another assessment to determine eligibility.

Phase 6 Construction Monitoring

Construction oversight is an ongoing process of integration and communication with the State, the AECOM Team and the contractor. Key functions of the construction oversight phase are established during Phase 1, to develop the routine and inter-relationships with damage assessor and contractor.

The Construction Oversight process largely follows the tempo and volume of the construction contracts, with close coordination between the applicant, contractor and the AECOM Team to ensure the scope, schedule, and budget of each project continues on the prescribed schedule.

Program Forms that may be used during the Construction Oversight Phase of the SAH Program are listed below and included in this document as Appendix S:

1. Executed Work Order
2. Final Assessment Acceptance Form

6.1 Work Order Execution and Notice to Proceed

Procedure:

Once the Initial Site Visit is complete and the homeowner has accepted the scope of work, a QA/QC review is performed on the document. The completion of the QA/QC review triggers execution of the Work Order and notice to proceed.

The FEMA STEP Guidelines require that construction be complete within sixty (60) days from signing the ROE form. If program policy changes require the contractor to re-enter the home, a new ROE will be executed and NTP issued if either have already expired.

6.2 Construction Monitoring

Over the course of the program, the AECOM team will monitor activities to assess how the projects are progressing and report status to the State. Each phase of the process is monitored by a Team Leader to keep the applicants moving through the eligibility process and the project is progressing on time and in a satisfactory manner. The AECOM Team will

track overall performance on SAH Contractors' conducting repairs for timeliness, completeness, and constituent complaints. The AECOM Team meets weekly in several formats with AECOM, GOHSEP, and the General Contractors to track progress and resolve issues during construction.

6.3 Reporting

The AECOM team will provide the required reporting documentation detailed in GOHSEP's contract documents for this Program and per FEMA guidance on STEP. The AECOM Team will transfer these reports using a password protected system (when applicable). Samples of these reports are included in this document at Appendix T.

These items are listed below.

- Daily status reports on the progress and performance of SAH contractors
- Daily electronic report to FEMA that includes:
 - Aggregate number of ROE's obtained;
 - The number of properties under work order;
 - and the number of properties with a passing final site visit assessment.
- Weekly Status Reports detailed by individual client on applicant status and activities underway and/or completed related to the tasks and services detailed in the contract.
- Weekly electronic report to FEMA that includes the following information on residences that receive assistance under SAH. The format will be established by the FCO.
 - Property owner's name
 - Property owner's address
 - FEMA registration number (if applicable)
 - Date ROE was signed for each property
 - Date work initiated on each property
 - Date work completed on each property
- Bi-Weekly Status Report to include:
 - Detailed by individual applicant
 - Applicant status
 - Activities underway and/or completed related to the tasks and services in the work plan
- Monthly Performance management report to the GOHSEP Director
- Closeout Reports
 - Final performance or progress report

- Financial Status Report (SF 269) or Outlay report and Request for Reimbursement for Construction Programs (SF 271) (if applicable)
- Final Request for payment (SF 270) (if applicable)
- Invention disclosure (if applicable)
- Federally-owned property report
- Disposing of program assets

6.4 Photos

Photographic logs will be maintained for each project during the initial site visit as well as at the Final Site Visit. This will serve to document both eligibility and the completed work.

Procedure:

All project photos will be uploaded to the appropriate applicant file in the data management system using the AECOM Team tablet and application.

6.5 Building Official Certificate of Completion

Procedure:

When the scope of work for a project requires a building permit, the Program will require that the contractor provide documentation indicating that the Building Official has accepted the work and/or issued a Certificate of Completion (CoC) for the work included in the Work Order.

6.6 Final Site Visit

Scheduling the Final Site Visit Procedure:

The Contractors are offered two vehicles for scheduling of the Final Site Visit (FSV). The Traditional and Embedded Processes are detailed below:

- Method 1 (Traditional)
 1. Builder forwards no later than 5:00PM each day to the Contractor Liaison (CL) the applicants with applicant ID# that they are requesting the AECOM Team to contact the homeowner for a FSV.
 2. These requests are collected by the CL and forwarded to the appointments coordinator.
 3. Calls are made the following day to these applicants. Every one that is contacted is matched with a date and time for the appointment.
 4. The resulting list for that day's successful calls are provided back to the contractors with the applicant ID# and the scheduled time for the FSV the next day.
 5. The FSV are conducted as scheduled.
- Method 2 (Embedded)

1. Builder forwards no later than 5:00PM each day to the CL the number of embedded assessors they are requesting as well as all applicants with applicant ID# for which they have coordinated with the Homeowner for a FSV.
2. These are collected by the CL and forwarded for distribution.
3. These are distributed to the Assessor Leads and assigned accordingly.
4. The FSV are conducted as scheduled.

A copy of the Final Assessment Acceptance form is included in this document as part of Appendix S.

Final Site Visit Procedure:

After building official approvals have been complete, the contractor will then request the Program perform the FSV. The damage assessor will verify that all the scopes contained in the work order have been complete and the fit, finish and craftsmanship are acceptable. CoC documents will also be collected at this time if they are required.

The FSV must be conducted within three (3) days of notification by SAH Contractor that work is complete on an individual home repair project. The applicant, contractor, and damage assessor will then execute the SAH Program Final Assessment Acceptance Form. This Verification form certifies that all repairs listed in the scope of work have been satisfactorily completed in accordance with program guidelines.

6.7 Safety

Safety of the general public as well as the workforce is paramount. It is imperative that contractors follow their own established Safety Work Plans as well as those developed by the program.

1. Training: The AECOM field team attended safety training hosted by the Area SH&E Manager to discuss the importance of health and safety, identify field safety requirements, and review the AECOM Health and Safety Plan for the SAH Program.
2. Safety Plans:
 - a. A copy of the SAH Health and Safety Plan is attached as Appendix F. AECOM must comply with these Procedures at a minimum. The AECOM Safety Procedures are available on the SH&E webpage located on the AECOM Ecosystem Safety website.
 - b. General Contractors are expected to produce and follow their own Health and Safety Plans in addition to the SAH Health and Safety Plan.
3. Safety Observations: Safety trained personnel will visit randomly selected jobsites and complete an observations checklist. Any violations will be reported to the contractor and maintained on file.

All work will be done in accordance with Occupational Safety and Health Administration (OSHA) regulations as promulgated under 29 CFR Part 1910 and 1926. In addition, the AECOM Team has established Safety Procedures to provide safe work procedures for employees, to meet client health and safety requirements, to comply with occupational health and safety regulations, and to minimize injury related liability.

6.8 Construction Issues Resolution:

From time to time issues may arise between the contractor and the applicant relative to scope of work or program guidelines. The damage assessor will report any issues to the Contractor Liaison (CL) that has been assigned the project

who will work with both parties to resolve the issue with the AECOM Team. If the issue cannot be resolved at this level, then the Program will seek assistance from the State.

Issues Resolution is covered in this document under the Issues Resolution Policy Section.

Applicant appeals are covered in this document under the Appeals Policy Section.

Phase 7 Project Close Out

The AECOM Team will close out files for properties that have been completed. The close out team will conduct a full Quality Control review of each file to ensure that all documentation has been received, executed correctly and uploaded into the system of record. A checklist was developed for the close out team to use as the standard for conducting the review. The Close Out Package Checklist is included in this document as Appendix V.

The State will have access to the system of record which will contain all close out information. Close out reports will be produced for the State as required.

Procedure:

Upon completion of construction and passing the FSV, the AECOM Team will work with the contractor to close out the project. The AECOM Team will collect close out documentation for verification of completion and compliance with FEMA requirements.

Minimum close out documents include:

- Owner/occupant's name and address
- FEMA Individual Assistance registration number, if applicable
- Damage description and scope of work required
- Legal Right of Entry and Indemnification Form
- Photos of storm-related damage
- Work Order describing costs and specific work performed at the property

Close out documentation will be captured and entered into the data management system for compliance reviews. Files will be generated and provided to the State for records retention in accordance with program guidelines. We will work closely with the State to complete close out with GOHSEP and FEMA to ensure all program funds are reconciled and reimbursed to the State, any requested close out documentation is provided, and the project receives a close out letter.

The State must submit projects for close out within 120 days of completion of work at the final property address.

Issues Resolution Policy

Issue/Complaint Resolution process

It is understood that not every Scope of Work under the Shelter at Home Program will be completed without an issue or concern arising. To assist the AECOM Team in working through these issues as they arise, the Team has drafted this Issue Resolution Process to provide guidance to the entire Team in solving these problems. The principals involved with resolution of complaints will be Lael Holton (Outreach Manager), Esrone McDaniels (Strategic Communications Coordinator) (both of AECOM) and T. Bradley Keith (Public Relations), Gulf Strategy Solutions.

There are three primary types of complaint vectors related to the Shelter at Home program:

1. Call Center generated issue/complaint;
2. Legislative or other political body generated issue/complaint; and

3. Governor's Office or Governor's Office of Homeland Security and Emergency Preparedness (GOHSEP) (client) initiated issue/complaint.

Each will be handled slightly differently as described below.

Call Center generated issue/complaint

The Shelter at Home program phone line (800-927-0216) has a dedicated option, Option 3, for Contractor or Damage Assessor Issues and Concerns. Once an applicant has selected this option, they are routed to representatives who will review the issue with the applicant and then route them appropriately, as follows.

- *For Status and Information checks:* The representative will take the applicant's information and attempt to answer as many questions from the database information as possible. If they are not able to satisfy the applicant's concerns, the information is logged and then given to the Operation Manager for Case Management staff to resolve. The Notes field on the applicant's file must be noted as to the date and time of the call, and any resolution or direction that has been received.
- *For Issues with Contractors or Damage Assessors:* The representative takes the applicant's information and provides it to a Contractor Issues representative. This representative will log the issue in the applicant's file and coordinate with the team lead to make sure the information and complaint moves to the appropriate Contractor Liaison, who will then attempt to resolve the issue with the applicant and the Contractor. The Team lead will also inform the Outreach Manager of the issue, and any potential resolution, so that the issue may be tracked.

All contact should be noted in the applicant's file, under the "Notes" tab for easy reference. Information should contain AT LEAST: representative making contact, date/time of contact, issue contacted about and any resolution (problem solved, issue forwarded on to higher authority, etc).

Legislative or Political Constituent Services generated issue/complaint

For all complaints that originate with a member of the Louisiana legislative delegation, the Congressional or Senate offices, local government or Parish Police Juries, the complaint needs to be routed to the Strategic Communications Coordinator (SCC) AND the Outreach Manager. Esrone will route the complaint appropriately whether it is a request for Case Management (status checks, lack of contact, etc.) or Contractor/Damage Assessor issues and concerns. The routing of information will follow those listed above: Case Management issues will go to the Operations Manager or designee and Contractor Issues will go to the appropriate Contractor Liaison. The issue will also be sent to the Complaint Log desk to be logged and tracked.

Once contact has been made with the applicant, the applicant's file will be notated by the representative as described previously. Issues and resolutions need to be communicated to the SCC and Outreach Manager as rapidly as possible, as these requests will have a large sense of urgency behind them. The SCC will then "close the loop" and respond to the legislative body that initiated the request providing the resolution our Team developed. All this activity will also be logged in the Complaint Log.

GOHSEP (client) or Governor's Office generated issue/complaint

These issues have the highest priority and should be treated with utmost urgency all across the resolution spectrum. These issues will typically come directly to the Program Manager or the Outreach Manager and will be immediately assigned to an individual either in Case Management or Construction to follow through the resolution process. The Operations Manager will be copied on all Case Management requests, and will assist with representative assignment and issue handling. For construction issues, the appropriate Contractor Liaison will be engaged and will manage the process, reporting resolution directly to the Outreach Manager. The Outreach Manager will report information as it becomes available directly to the Program Manager and to GOHSEP, including other Team members as necessary.

For issues of this type that require public appearance or management, AECOM will work with our embedded Public Relations Firm, Gulf Strategy Solutions, to manage the external communication, news media or other entities as required. Every step of contact in these issues MUST be logged in the Complaint Log and must be communicated to the Outreach Manager and the Public Relations Manager.

Summary

This concludes the general Issue/Complaint Resolution process. Every issue is going to be different, and some may need to be handled in a slightly different manner from that prescribed above, however, for the sake of consistency and to make sure that all applicant concerns are handled in a timely manner, this process will be the norm. Any information generated through this process that is of universal program applicability will be broadcast to all applicants and contractors and damage assessors and the general public via email blast, social media and/or direct calling and informational campaigns.

Payment Processing

Contractor Payment Application Processing

Following the successful completion of passing the FSV and providing all required documentation, contractors will be authorized to submit a pay application for the value of the contract (less any retainage). The AECOM Team will review each pay application for completeness and accuracy. Any discrepancies will be noted and returned to the contractor. After all corrections have been made, the documents may be forwarded to the state from the Contractor.

Procedure:

- Each Contractor is required to submit, via USB Flash Drive or Paper Copy, a Payment Application Package by the 5th and the 20th of each month covering all activities recently completed. The list of documents that compose the payment application package are included in the document at Appendix L.
- The AECOM Team completes a QA/QC review of the payment application package.
- The AECOM Team returns the payment application package to the Contractor who submits the documentation to GOHSEP for approval.
- GOHSEP then submits this documentation to FEMA for approval.

Subconsultant/Subcontractor Payment Application Processing Procedure:

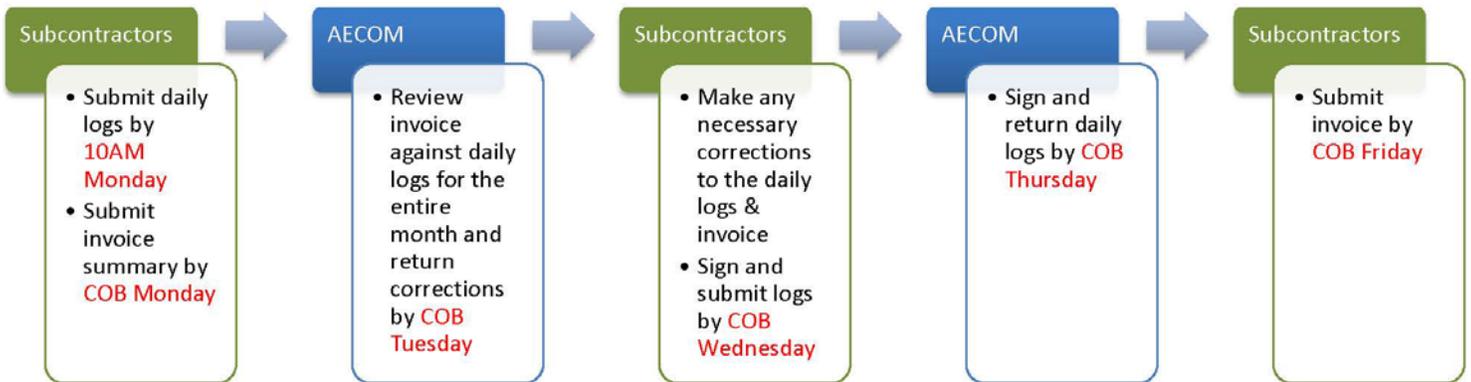
Invoices are due the first week of the Monthly Service Period (see table below). As part of the invoicing requirements, T&M staff are required to maintain a Daily Log (see Appendix V) that is due every Monday for the prior week by 10 am. Subconsultants' invoices should be submitted for review by COB the 1st Monday of the Monthly Service Period. AECOM will review invoices against the daily logs and return any discrepancies by COB Tuesday. Once, if any, corrections are made, an invoice with signed logs should be submitted by COB Wednesday. AECOM will then sign and return the logs to the Subconsultant for submittal to the Transcepta payment processing system.

Utilizing this submittal process will streamline the Daily Logs review, and reduce the time for invoices to be approved.

Invoice Month	Monthly Service Period	Invoice Due for Review	Invoice Submittal Deadline
October	08/27/2016-09/16/2016	9/23/2016	9/23/2016
	08/27/2016-09/30/2016	10/3/2016	10/7/2016
November	10/01/2016-10/28/2016	10/31/2016	11/4/2016
December	10/29/2016-11/25/2016	11/28/2016	12/2/2016

January	11/26/2016-12/30/2016	1/2/2017	1/6/2017
February	12/31/2016-01/27/2017	1/30/2017	2/3/2017
March	01/28/2017-02/24/2017	2/27/2017	3/3/2017
April	02/25/2017-03/31/2017	4/3/2017	4/7/2017

T&M Staff Invoice Submittal Process



To invoice Initial, Final and Re-assessments, AECOM's Project Controls staff will issue the list of applications in the Data Management System for that service period with inspection status that reflect payment milestone to all subconsultants. Subconsultants will confirm the status of the list and include those assigned to them on their invoice.

Appeals Policy

Appeal and use of Voluntary Organizations after Disaster (VOAD) Policy for Shelter at Home (SAH) Program

Applicants have a right to appeal a determination where they believe that a mistake has been made regarding their eligibility; the Program Manager, in conjunction with the State, has created an appeal process to allow the applicant a mechanism for requesting further review on a decision made on their file.

Appeals

Throughout the process, decisions will be made on an application and/or project to be delivered. This policy guides the process for an applicant appealing decisions made by the program staff regarding eligibility only.

Appeals Policy:

Ineligibility Determination. An Applicant for the Louisiana Shelter at Home Program may be found ineligible due to not meeting one of the following eligibility criteria and may appeal based on the following actions:

- a) Home Not Located in a Disaster Declared Parish
- b) Ownership
- c) Primary Residency
- d) Refusal to Sign the Right of Entry Form
- e) Cancellation of the Right of Entry Form
- f) Home cannot be mitigated for under \$15,000
- g) Home is unsafe to enter

Notice to Applicant of Ineligible Decision. If an applicant is determined to be ineligible because of reasons a-e listed above, a standardized ineligibility letter will be sent to the applicant. Each notice will also contain details of the Appeals process and affords the applicant the opportunity to appeal in writing. The applicant can appeal within 14 calendar days of the letter

date or notice, but no later than October 15, 2016 for Appeals based on Eligibility and November 30, 2016 for Appeals based on Construction. However, if the cost to perform emergency temporary repairs exceeds the program established maximum of \$15,000 (f above), a notice will be given to the applicant at the time of the initial site visit. At this time if the property is deemed ineligible due to exceeding the cap, the damage assessor will offer to refer the home to VOAD. The homeowner must accept this referral, and release of personal information, in writing.

Procedure for Homeowner's use of VOAD. After a homeowner has work completed by VOAD on their home, the homeowner must contact their SAH case manager to notify them that work has been completed. A damage assessor will be dispatched to their home for another assessment to determine eligibility.

Appeal of Program Decision to the Appeals Team. An Appealing Party must file a written Appeal to the Program Manager, AECOM, to request a review of their file by the Appeals Team no later than the fourteenth (14th) calendar day after the date of the ineligibility letter, or of the notice given to the applicant at the time of the Initial Site Visit, but no later than November 1, 2016.

The written appeal must be submitted to the Program Manager via email at appeal@lasahp.com or mail at AECOM, Attention: Shelter at Home (Appeals), PO Box 66097, 4500 Government Street, Baton Rouge, LA 70806. The written appeal must include specific information relating to the challenge of the eligibility decision, applicant name, damaged property address and compelling documentation supporting the appeal. The response may take one of the following actions:

1. Concur with the Appeal and make the appropriate adjustments to the staff's decision; or
2. Disagree with the Appeal and provide the basis for rejecting the Appeal to the Appealing Party. If the denial is based a determination that the cost will exceed \$15,000, the appealing party will be offered a choice to be referred by the State to Louisiana Voluntary Organizations Active in Disasters (VOAD).
 - a. If an applicant chooses to be referred to VOAD, AECOM will refer the file to GOHSEP's VOAD coordinator.
 - b. After an applicant receives VOAD services they must contact their case manager to notify them that the VOAD work is complete.
 - c. The PM will send out an assessment team to re-assess the home to determine eligibility into the program.

Anti-Fraud, Waste, and Abuse (AFWA) Efforts:

AECOM is committed to delivering the SAH program in a manner that supports the public trust and transparency and is designed to facilitate AFWA activities. To this end, AECOM is implementing education and SAH staff affidavits defining the goals and requirements of the Copeland Anti-Kickback Act and assure in the affidavit that no SAH staff member (family, friends or associates) receives a benefit outside of express and legal compensation for project performance activities. Further, SAH compliance staff are available to provide training on 18 USC § 874 and 40 USC § 3145 and 29 CFR § 3 on an as-needed basis. SA SAH staff members are required to report offenses or attempts to commit offenses to SAH program leadership. AECOM's Ethics hotline 1-888-299-9602 is also available for confidential reporting by any SAH staff member. AECOM will report any offenses or attempted offenses to GOHSEP and in consultation with FEMA if such a circumstance arises. If a suspicion or allegation of impropriety is observed, direct reporting will also occur through FEMA's Fraud hotline at 1-800-323-8603.

Summary Comments

AECOM's SAH Policies & Procedures manual is a living document and cascades from the SAH Work Plan in conjunction with the Outreach Plan and Compliance Plan. All three of these Plans and cascading sub-plans, policies, procedures, and process flows will be updated in the interest of efficiency and efficacy in meeting FEMA's STEP Program Federal Cost Objectives that focus on expediting the delivery of disaster relief assistance to SAH applicants. The Policies & Procedures

manual is automatically date-stamped in the footer to maintain version control, and the user is advised to seek the most current document.