



Appeals Process Standard Operating Procedures

Version 8.1

November 28, 2018

Disclaimer

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Revision History

Revision Number	Revision Description	Release Date
1	Initial version published	08/03/17
2	<p>Revision 2 published</p> <ul style="list-style-type: none"> Added “Only appeals filed prior to the execution of the grant agreement will be accepted” in place of only appeals filed upon Award Acknowledgment Added Internal Processing of the Appeal steps 1 through 10 Added Appeals Team further process assignment matrix Added Appeals Review and Response Timeline chart Added elements to the Appeals Log <ul style="list-style-type: none"> Appeal Aging Verify eGrants Appeal Execution in addition to Website Appeal Execution Appeal Valid or Invalid Third-Party Hold Status Review Team Recommendation Appeals Coordinator Approval/Denial Data Adjustment Request to STR (Date) Data Adjustment Completed by STR (Date) Status Tracker for Approved Appeals (Level 1 QC Review through Second QC Award Review complete) Automated email generation from the above status transactions, used to track the movement of approved appeals through the award review processes Added Appendix A: Appeal Determination Letter Granted Added Appendix B: Appeal Determination Letter Denied Added Appendix C: Appeal Determination Letter More Information Added Appendix D: Appeal Withdrawal Letter Added Appendix E: Appeal Invalid Letter 	10/23/17
3	<p>Revision 3 published</p> <ul style="list-style-type: none"> Added Filing an Appeal – detailed eGrants instructions from version 2.2 	02/9/18

	<ul style="list-style-type: none"> • Removed – Website Appeal instructions • Removed – 7 day deadline for Applicant to submit supporting documents • Added – Internal processing of Appeal including eGrants 2.2 updates. • Updated – Appeals Review and Response Timeline chart with eGrants 2.2 updates • Added – Full File Review procedure • Added – eGrants Appeals Workflow • Added – QC2 Review Path for Appeals 	
4	<p>Revision 4 published</p> <ul style="list-style-type: none"> • Updated – Appeals filed after deadlines clarification • Added – Future policy changes impact on grant calculations • Added – Applicant's 30 day deadline to file an appeal with 30 day grace period 	03/16/18
5	<p>Revision 5 published</p> <ul style="list-style-type: none"> • Updated Internal Processing of the Appeal section • Removed Appeals Review and Response Timelines Workflow • Updated Letters in Appendices A - D 	04/27/18
6	<p>Revision 6 published</p> <ul style="list-style-type: none"> • Added Initial Entry with File Closure procedures • Added post-appeals status changes • Updated Appeals Workflow 	06/04/18
7	<p>Revision 7 published</p> <ul style="list-style-type: none"> • Various minor edits to procedural language. • Revised system processes for Initial Entry files upon determination. • Removed secondary QC review by Appeals team. • Edits to eGrants procedures to accommodate system permissions. • Revisions to Appeals Log entries. 	6/25/18
8	<p>Revision 8 published</p> <ul style="list-style-type: none"> • Updated the Appeals Deadlines to conform with Program policy • Removed references to “new” systems functionality for clarity • Clarified 30 business days for an appeals determination • Updated process for returning files to Initial Entry • Updated screenshots to reflect systems updates to appeals functionality • Updated eGrants Appeals Workflow • Updated Appeals Log 	11/05/18

8.1	<p>Revision 8.1 published</p> <ul style="list-style-type: none"> • Added clarification that each piece of appeal supporting documentation must be saved individually to the file with the appropriate naming convention • Clarified that applicants that appeal a Zero Award determination are not eligible to convert to positive award based on elevation scope, only 	11/28/18
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Introduction

Federal Register Notice 81, No. 224 published on November 21, 2016 requires the grantee, who is the Office of Community Development – Disaster Recovery Unit (OCD-DRU), to have a process in place that addresses program appeals. Only the Applicant(s) listed on the application can file an appeal and only after a Notice of Eligibility of Award or Decision of Ineligibility has been issued by the Restore Louisiana Homeowner Assistance Program (RLHP). The RLHP will not accept appeals filed by individuals or entities that are not listed as an applicant on the respective file, nor will the RLHP accept appeals received prior to the issuance of either a Notice of Eligibility for Award or Decision of Ineligibility. The applicant filing an appeal must follow the strict timelines provided in this standard operating procedure for appeals. Appeals filed after deadlines provided will be accepted, but the appeals team determination will be “denied” based on the expiration of deadlines. In cases with extreme extenuating circumstances, a late appeal may be reviewed on an exception basis.

What is an Appeal?

An appeal is a formal written request from the Applicant to review a RLHP written decision regarding either an Award of Eligibility or a Decision of Ineligibility. Only the Applicant listed on the application, or an agent-in-fact for the Applicant, verified by executed power of attorney within the Applicant’s file, can file an appeal. If there are multiple applicants on the application, it is the responsibility of the Applicant(s) to designate only one applicant to file the appeal. The RLHP will only communicate with the Applicant who filed the appeal. If the Applicant has designated a third party to obtain information on their behalf, project staff will first verify the Communication Designee Form has been fully executed and uploaded in the Applicant’s file before speaking with the third party. Once an appeal has been submitted and a determination has been rendered by the program, the decision is final and is no longer an appealable issue. Appeals will not be accepted from non-applicants to the respective application. Only appeals filed prior to the execution of the grant agreement will be accepted.

Applicants are only able to appeal any of the following program determinations:

1. Program eligibility;
2. Grant calculations prior to execution of grant agreement;
3. Repair or Reimbursement Estimates limited to measurements of the home and quantities of damaged materials only;
4. Duplication of benefits; and
5. File closure.

Appeal Option

Once the award has been calculated and undergoes a quality control review, the Applicant is sent an email to notify them that their Grant Acknowledgement Letter is available for review and action in eGrants. It is at this time that the Applicant is notified in writing of the option to appeal their Grant Acknowledgement Letter. In the event a future policy change by the RLHP would positively impact the amount of an Applicant’s grant award, the grant will be recalculated accordingly and the Applicant will have the option to accept and sign a grant agreement with the updated grant award.

For award determinations received before October 5, 2018, applicants may appeal an award determination decision by filing an appeal prior to execution of the grant agreement, or by November 2, 2018, whichever occurs first. For award determinations received after October 5, 2018, an appeal must be filed within thirty (30) calendar days after the date of the award determination letter or prior to the execution of the grant agreement, whichever occurs first. In the event a future policy change by the Program would positively impact the amount of the grant award, the grant will be recalculated accordingly and the applicant will have the option to accept and sign a grant agreement with the updated grant award.

File an Appeal

Creation of Appeal

The start of the appeals process begins with the completion and submission of an Appeals Form within eGrants in one of the following ways:

- eGrants – Access eGrants online by visiting <http://egrants.restore.la.gov/egrantsplus/app/index.html>.
- In person – Case Manager can assist the Applicant with filing an appeal in eGrants.
 - Note: The Case Manager should also ensure that each piece of supporting documentation for an appeal is saved separately with the appropriate naming convention. If an applicant provides the Program with supporting documentation that was not previously received, it should be scanned and saved separately in addition to being saved with the Appeal Supporting Documentation.

[TASK FORCE](#) [RECOVERY ASSISTANCE](#) [NEWS](#) [MEDIA](#)

Homeowner Assistance: Appeal Request

Homeowner Assistance: Appeal Request

THE APPEALS PROCESS HAS MOVED!

YOU MAY NOW REQUEST AN APPEAL AND UPLOAD SUPPORTING DOCUMENTATION THROUGH YOUR ONLINE ACCOUNT BY FOLLOWING THE DIRECTIONS BELOW:

1. Access your online account by visiting <http://egrants.restore.la.gov/egrantsplus/app/index.html>.
2. Log in to your account through the eGrantsPlus Menu.
3. Enter your account ID, last name and password.
4. Select Appeal and click Next.

NOTE: If you have forgotten your password, click the key icon in the top right corner of the eGrantsPlus system, enter your Account ID and last name, and instructions to change your password will be sent to the email address associated with your account.

If you cannot access your account online, or have any questions on how to file your Appeal request, please call our Customer Service Helpline at (866) 735-2001 or schedule a meeting with your case manager.

Appeals created by the Applicant from the Award Acknowledgement Screen:

The process of creating an appeal by an Applicant is similar to the process of creating an appeal by a Program staff user. The main difference is the way in which the Appeal Form is accessed.

An Applicant can access the Appeals Form in eGrants by going online to:

- <http://egrants.restore.la.gov/egrantsplus/app/index.html>.
- Log in to account through the eGrantsPlus Menu.
- Enter account ID, last name and password.
- Select Appeal and click Next. The system will then walk the Applicant through the Appeals Form.

The Appeal Form is accessed by selecting the Appeal radio button on the *Award Acknowledgement* screen and clicking the *Next* button.

APPEAL

- ☒ I disagree with my award calculation, repair or reimbursement estimate, or some or all of the determinations made by the Program in connection with its processing of my application for assistance. As a result, I am electing to refuse the award and exercise my right to appeal. By selecting this option, I am initiating the first step in that process and will follow the Program Appeal Procedures as attached to this notification letter. I understand that appealing my award calculation will result in the delay of benefits and my application will remain on hold until my appeal is resolved.

CONSULT

- ☐ I need to discuss my award with a Program representative to more fully understand how my award was calculated. I understand that if I have any questions about the information contained in this award notification that I should contact my case manager. I understand that my benefits will be delayed and my application will not move forward until I have consulted with my case manager and I am ready to accept my award.

Please Initial _____

The following screen displays with *Save* and *Submit* buttons.

This form is a request to the Restore Louisiana Homeowner Assistance program. Appeals must be filed within 30 days of the date of your Notice of Eligibility of Award or Decision of Ineligibility letter.

What program decision are you appealing? You may select more than one issue, but if an issue has already gone through the appeal process once, it cannot be applied a second time.*

- | | | |
|--|--|--|
| <input type="checkbox"/> Program Eligibility | <input type="checkbox"/> Grant Calculation | <input type="checkbox"/> Repair or Reimbursement Estimates |
| <input type="checkbox"/> File Closure | <input type="checkbox"/> Duplication of Benefits | |

I object for the following reasons (Attach all supporting documentation and additional sheet(s) below if necessary)*

Reason For Appeal

Please upload copies of any Supporting documents.

Drag and Drop here!

Select file
 BROWSE

Once accessed, the creation of the Appeal Form is the same for the Applicant as described above as it is for a Program staff user using the *Award Consultation* screen.

Applicants in the Award Consultation status who wish to create an appeal may need assistance from Program staff. A staff user with access to the *Award Consultation Management* screen will first need to assign the application to an Award Consultant. The Award Consultant will be able to access the Appeals Form from the *My Award Consultations* screen by clicking the *View Details* link of the added Appeals column in the search results.

My Awards Consultations Filters

Status

Award Consultation

Consultation Action

All

Account ID
Type in any part of the Account ID

The following applications were found according to your search criteria

Show 25 entries

Showing 1 to 1 of 1 entries

Search:

	Application ID/ Report	Survey ID/ Report	Appeals	Survey Respondent Name	Account ID	Application Status	Damaged Residence Street	Damaged Residence City
<input type="checkbox"/>	1700004518 Application	1700004517	View Details	Kim Harrell	101288	Award Consultation	446 CLEVELAND RD	AMITE

Clicking the *View Details* link displays the Appeals Form. The user will need to complete all areas of the Appeals Form. Attempting to Submit the form without doing so results in the below validation indicating the required items in red.

This form is a request to the Restore Louisiana Homeowner Assistance program. Appeals must be filed within 30 days of the date of your Notice of Eligibility of Award or Decision of Ineligibility letter.

What program decision are you appealing? You may select more than one issue, but if an issue has already gone through the appeal process once, it cannot be applied a second time. *

☐ Program Eligibility ☐ Grant Calculation ☐ Repair or Reimbursement Estimates ☐ File Closure

☐ Duplication of Benefits

At least one is required

I object for the following reasons (Attach all supporting documentation and additional sheet(s) below if necessary) *

Required

Supporting Documentation *

☐ I have provided all supporting documentation for my Appeal

Required

Certification *

☐ I have read the foregoing appeal and any attachments thereto and I hereby certify the same is true to the best of my knowledge. Any copy of a document I have attached is, to my knowledge, a true and complete copy of the original document. False statements made in this Request for Appeal may subject me to the penalties provided by law.

Required

Please upload copies of any supporting documents.

A user can indicate up to five reasons for creating an appeal: Program Eligibility, Grant Calculation, Repair or Reimbursement Estimates, File Closure, and Duplication of Benefits. They are also able to upload any supporting documentation for the appeal.

Any uploaded supporting documentation for appeals is viewable in the *Application's Attachments screen* under the Appeals Documents > Supporting Documentation sub-folder. The staff user may also manually upload supporting documentation in that sub-folder for appeals documentation received outside of eGrants.

File Name (Hover over to see comments)	Creation Date	Visible To	Uploaded By	Actions
Abbreviated Titles				
Abbreviated Titles Document +				
No attachments to display				
Appeals Documents				
Appeal Determination +				
No attachments to display				
Supporting Documentation +				
1700004440_APPEALS_SUPPORTING_DOCUMENTATION.pdf	11/03/2017 16:27:48	Everyone	Tabitha Cunningham	Deactivate Update History

Clicking the Save button will save any entered data so that it displays upon return to the screen at a later time. Once the staff user enters all the information for the applicant, they may click the Submit button. At that time the Application status changes to *Appeal Received*. The transition also displays in the Transaction Log for the application.

28638	Award Consultation	11/01/2017 12:27:40	Harrell, Kim	Transaction at submission of application by applicant
28818	Appeal Received	11/01/2017 13:25:57	Cunningham, Tabitha	Award Appeal Received

Correspondence indicating the receipt of an appeal is also automatically generated. The correspondence will be viewed and sent by users with the *Appeals Manager* role.

The following correspondence were found according to your search criteria.

Show 10 entries

Showing 1 to 3 of 3 entries (filtered from 47 total entries)

	Letter Id	Correspondence Name	Recipient Count	Correspondence Type	Grant ID	PDF	Letter Content	To Address
<input type="checkbox"/>	5587	Appeal Received	1	EMAIL	1700004540	No	View/Print	sandyjones@:
<input type="checkbox"/>	5586	Appeal Received	1	EMAIL	1700004540	No	View/Print	sandyjones@:
<input type="checkbox"/>	5588	Appeal Received	1	EMAIL	1700004540	No	View/Print	sandyjones@:

Export: XML | CSV | XLS

[Send Selected Items](#)

A sample of the text included on the email follows.

November 10, 2017

SANDY APPEALS15 111 SANDY ST, CHURCH POINT LA - 70525

Dear SANDY APPEALS15:

The Appeals Team of the Restore Louisiana Homeowner Assistance Program has received your Appeals request. At this time, we will begin a thorough review of your appeal. Once the Appeals Team reviews your appeal, a written decision will be provided to you. Should you have questions regarding your appeal, please contact our Helpline at 866-735-2001.

We appreciate the time and effort you have taken in submitting your appeal.

Sincerely,
Appeals Team Restore Louisiana Homeowner Assistance Program

*****This is an automated email. Please do not reply.*****

Any time after the submission of the Appeals Form, the staff user has the ability to withdraw the appeal at the Applicant's request. The appeal may be withdrawn by clicking on the *Withdraw Appeal* button that displays at the bottom of the Appeals Form after submission. Once withdrawn, the Application status changes back to *Award Consultation* and the application is removed from the appeals process.

Save Reason Codes

Submit

Withdraw Appeal

The Account ID and Application Status have been added as filters and as columns in the search results on the *Award Consultation Management* and *My Awards Consultations* screens. The staff user may use the Status filter in the event the application must be re-assigned during the Appeals process.

Award Consultations Filters

Damaged Structure Parish

All Parishes

Survey Phase

All Phases

Zip Code

Account ID
Type in any part of the Account ID

Status

Appeal Received

Award Consultation

Appeal Received

Award Appeals In Progress

Unassigned

Retrieve

Reset

The following applications were found according to your search criteria.

Show 20 entries

First

Showing 1 to 1 of 1 entries

Search:

	Application ID	Survey ID	Application Status	Assignee	Respondent Name	Account ID	Damaged Residence Street
<input type="checkbox"/>	17000C440 Application	1700004439	Appeal Received	CUNNINGHAM TABITHA	Jodi Lewis	101192	7741 BOY SCOUT CAMP RD

CSV

Excel

PDF

Available Staff

Select From List

Reassign

Notes for an appeal may also be entered using the Appeal Note Type.

Note Type:	Appeal		
New Comment:	Select a Notes Type Appeal Construction		
Grant Application Total number of row(s):1 Export			
Date	Category	Creator	Note Content
11/06/2017 19:26:49	Appeal	Cunningham, Tabitha	Notes for Appeal

Internal Processing of the Appeal

Once an applicant files an appeal with the program, the Applicant will receive an email acknowledging receipt of their appeal. This email serves as the written acknowledgement required under the program to be provided to the Applicant within 10 days of receipt of the official appeal request. The program will provide a written determination within 30 business days of receipt of the request for an appeal.

After receipt of the appeal, the Appeals Team will do the following:

1. **Commence 30-day Appeal Review and Response timeline via Appeals Log.**
2. **Review Appeal for validity:**
 - a. Complete an Appeal Invalid Letter indicating the reason the Appeal is invalid;
 - b. Mail the Appeal Invalid Letter to the Applicant via certified mail;
 - c. Upload the Appeal Invalid Letter into the eGrants Appeals section;
 - d. Return the Application status in eGrants to its status prior to Award Appeal in Progress.
3. **An Applicant must submit all relevant documents with their Appeal.** The Appeals team may communicate with the Applicant should they need to request missing documents. However, the appeal will be denied if the correct documents are not provided.
 - a. **Note:** Each piece of supporting documentation should be saved with the appropriate naming convention in eGrants. If an applicant provides the Program with supporting documentation that was not previously provided and/or saved to eGrants, this documentation must be saved to the file with the appropriate naming convention.
 - b.
4. **If Applicant decides to withdraw Appeal:**
 - a. Annotate in notes and Appeals log;
 - b. Complete an Appeal Withdrawal Letter;
 - c. Mail Appeal Withdrawal Letter to Applicant via certified mail;
 - d. Upload the Appeal Withdrawal Letter into eGrants Appeals section;
5. **Appeals Reviewer completes a full file review along with the review of the appealed issue(s), prepares a recommendation/determination with supporting policy, and makes a final determination:**
 - a. Approve Appeal;
 - b. Deny Appeal;

6. Approved appeals will be adjusted per the approved amount(s) following the review:

- a. The Appeals Team sends the File through Second QC Award Review.
 - (1) Second QC Award Review approves Appeal Decision;
 - (a) The Appeals Team drafts the Approved Appeal Letter.
 - (b) The Appeals Team approves and sends the Approved Appeal Letter via certified mail.
 - (c) The Appeals Team uploads the Approved Appeal Letter into the eGrants Appeals section. **The date of upload marks the completion of the 30-day Appeal Review and Response timeline.**
 - (2) Second QC Award Review disapproves Appeal Decision;
 - (a) Second QC Award places the file in the resolution hold queue.
 - (b) The Appeals Team reviews disapproval notes and makes appropriate changes.
 - (c) The Appeals Team resubmits the file to Second QC Award for review (returns to step 6. a. in the process).
- b. The Appeals Team reviews the QC2 Actions List in SharePoint to identify approvals or disapprovals daily.

7. Denied Appeals:

- a. Appeal denied with no changes made to the file.
 - (1) The Appeals Team drafts the Denied Appeal Letter and sends the Denied Appeal Letter via certified mail.
 - (2) The Appeals Team uploads the Denied Appeal Letter into the eGrants Appeals section. **The date of upload of the letter marks the completion of the 30-day Appeal Review and Response timeline.**
 - (3) The Appeals Team changes the Application status in eGrants to the appropriate status.
- b. Appeal denied but changes made as a result of full file review. The Appeals Team sends the File through Second QC Award Review.
 - (1) Second QC Award Review approves Appeal Decision;
 - (a) The Appeals Team drafts the Denied Appeal Letter.
 - (b) The Appeals Team approves and sends the Denied Appeal Letter via certified mail.
 - (c) The Appeals Team uploads the Denied Appeal Letter into the eGrants Appeals section. **The date of upload of the letter marks the completion of the 30-day Appeal Review and Response timeline.**
 - (2) Second QC Award Review disapproves Appeal Decision;
 - (a) Second QC Award places the file in the resolution hold queue.
 - (b) The Appeals Team reviews disapproval notes and makes appropriate changes.
 - (c) The Appeals Team resubmits the file to Second QC Award for review (returns to step 7. b. in the process).

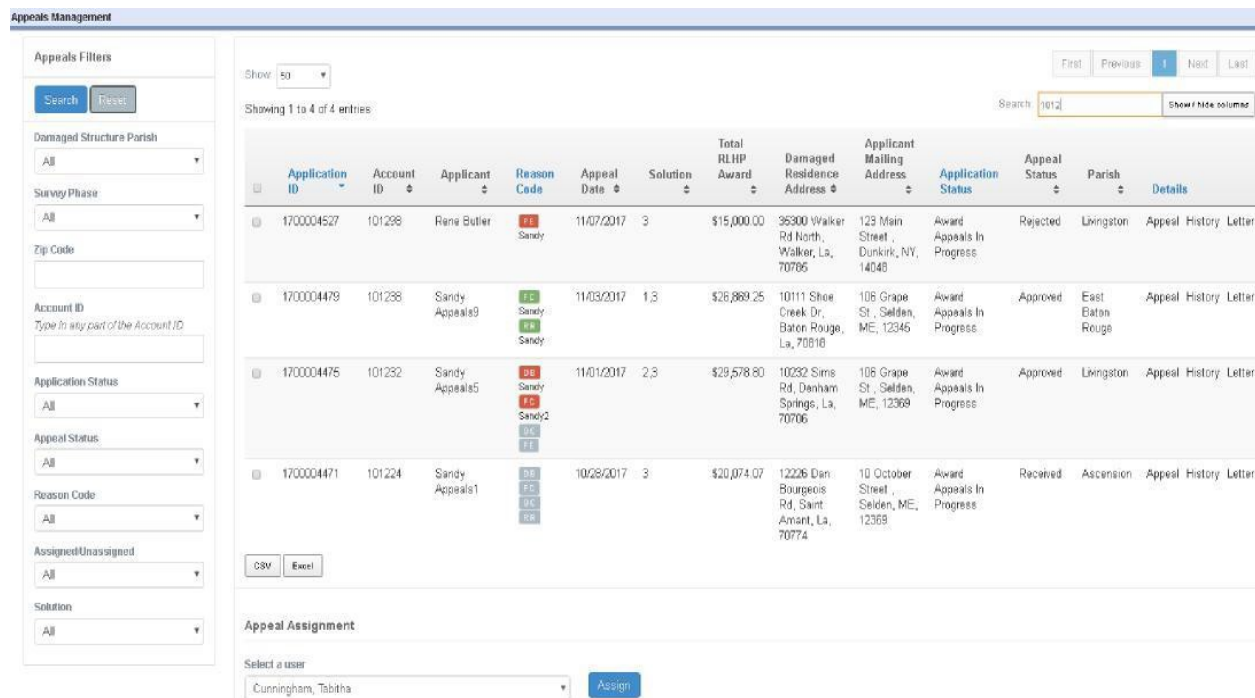
eGrants Procedures

Assignment of Appeal

After the Appeals Form submission, when the Application status is in *Appeal Received*, the appeal may be assigned for further processing using the *Appeals Management* screen. This screen is accessible by users with the *Appeals Manager* role under the Actions menu item.



The *Appeals Manager* user has the ability to assign or re-assign all the reason codes for an appeal to one appeals worker at one time by filtering the Reason Code for "All" and clicking *Search* to retrieve results.



The Appeals assignment or re-assignment for an individual reason code can be done by filtering for a Reason Code and clicking *Search* to retrieve results.

Appeals Management

Appeals Filters

Search

Reset

Damaged Structure Parish

All

Survey Phase

All

Zip Code

Account ID

Type in any part of the Account ID

Application Status

All

Appeal Status

All

Reason Code

All

Show

50

Showing 1 to 1 of 1 entries

Search: 410

	Application ID	Account ID	Applicant	Reason Code	Appeal Date	Solution	Total RLHP Award	Damaged Residence Address	Applicant Mailing Address	Application Status	Appeal Status
<input checked="" type="checkbox"/>	1700004162	107968	Krista Cutler	DB SC PS	11/2/2017	1	\$15,000.00	10157 Lhur Rd Eator Rouge, La, 70808	232 Main Street Kenner, LA, 70112	Appeals Received	Received

13%

Export

Appeal Assignment


Select a user

Cunningham, Tabitha

Assign

Once the user is selected and the Assign button is clicked, the Application Status changes to *Award Appeals in Progress* and the Appeal status changes to *In Progress*. The first name of the Assignee also displays underneath the Reason Code icon.

	Application ID	Account ID	Applicant	Reason Code	Appeal Date	Solution	Total RLHP Award	Damaged Residence Address	Applicant Mailing Address	Application Status	Appeal Status
<input type="checkbox"/>	1700004440	101192	Jodi Lewis	DB Tabitha PE Sandy	11/08/2017	2,3	\$19,050.00	7741 Boy Scout Camp Rd, Mooringsport, La, 71060	353 Tanner Road, Eunice, LA, 74114	Award Appeals In Progress	In Progress

CONFIDENTIAL  See disclaimer for restrictions.

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The Details section contains three hyperlinks:

- 1) *Appeal* – displays a read-only version of the submitted Appeal Form. The Withdraw button is enabled in the event the appeal needs to be withdrawn. Also, the Appeals Worker can update the Reason Codes for the appeal here. They may add or delete Reason Codes by selecting/deselecting Reason Codes and then clicking the *Save Reason Codes* button:

This form is a request to the Restore Louisiana Homeowner Assistance program. Appeals must be filed within 30 days of the date of your Notice of Eligibility of Award or Decision of Ineligibility letter.

What program decision are you appealing? You may select more than one issue, but if an issue has already gone through the appeal process once, it cannot be applied a second time. *

☐ Program Eligibility ☒ Grant Calculation ☒ Repair or Reimbursement Estimates ☒ File Closure ☒ Duplication of Benefits

I object for the following reasons (Attach all supporting documentation and additional sheet(s) below if necessary) *

blah
blah

Supporting Documentation *

☒ I have provided all supporting documentation for my Appeal

Certification *

☒ I have read the foregoing appeal and any attachments thereto and I hereby certify the same is true to the best of my knowledge. Any copy of a document I have attached is, to my knowledge, a true and complete copy of the original document. False statements made in this Request for Appeal may subject me to the penalties provided by law.

Attachment List

Document Type	File	Created by	Created Date	Delete
Appeals Supporting Documentation	1700004471_APEALS_SUPPORTING_DOCUMENTATION.docx	Stefanie Ferraro	10/28/2017 04:31 PM	 Remove

Save Reason Codes

Submit

- 2) *History* – displays the most recent determination for each Reason Code along with the Appeal Received Date, Assignee, Assigned Date, Determination Comment, and Determination Date:

Reason Code	Appeal Received Date	Assignee	Assigned Date	Determination	Determination Comment	Determination Date
File Closure	11/03/2017 21:06:27 PM					
Grant Calculation	11/03/2017 21:06:27 PM	GRUNITZ, STEFANIE	11/03/2017 21:25:14 PM	Rejected	jktlds;af	11/08/2017 11:45:16 AM
Program Eligibility	11/03/2017 21:06:27 PM	GRUNITZ, STEFANIE	11/03/2017 21:06:51 PM	Accepted	PE POSITIVE	11/03/2017 21:07:35 PM
Duplication of Benefits	11/03/2017 21:06:27 PM	CUNNINGHAM, TABITHA	11/08/2017 11:44:50 AM			
Repair or Reimbursement Estimates	11/03/2017 21:06:27 PM	GRUNITZ, STEFANIE	11/03/2017 21:25:31 PM			

Please upload Appeal Determination Letter.

Document Type

Determination Letter

Select a file

Choose File

No file chosen

Upload

Document Type	File	Created by	Created Date	Delete
Determination Letter	101192_APEALS_DETERMINATION_LETTER_20171106.pdf	Tabitha Cunningham	11/06/2017 06:16 PM	Remove

Processing and Resolution of Appeal

Once assigned, the Assignee processes the appeal from the *My Appeals Assignments* screen. This screen is accessible by users with the *Appeals Worker* role under the Actions menu item.



My Appeals Assignment

My Appeals Filters

Search [] Reset []

Domestic Structure Points: []

Survey Phase: []

Zip Code: []

Account ID: []
Type in any part of the Account ID

Application Status: []

Appeal Status: []

Reason Code: []

Assigned/Investigated: []

My Assignments: []

Solution: []

Showing 11 of 11 entries

Application ID	Account ID	Applicant	Reason Code	Appeal Date	Solution	Total KILIP Award	Damaged Residence Address	Applicant Mailing Address	Application Status	Appeal Status	Parish	Details	Action
173000446	101132	Jed Lewis	101132	11/08/2017	2,3	615,050.00	7741 Eby Court Camp Hill, Mississippi 39001	353 Turner Road, Ocean Springs, AL 36564	Appeal Status: In Progress	1	Cadotte	Appeal History Letter	

Low [] Low []

Available Actions

Action: []

Comment: []

Submit

The assignee can make a determination on the reason for the appeal by clicking the respective Reason Code icon. Once clicked, a pop-up displays for entering comments related to the Appeal Reason Code Determination of the respective reason for appeal. After entering comments, the user may click the Accept button to indicate an appeal acceptance based on that reason code and that there may be changes needed on the GO screen. Or they may click the Reject button to indicate an appeal rejection based on that reason code.

The acceptance of a reason for the appeal results in the color of the respective reason code icon changing to green.

<input type="checkbox"/>	Application ID	Account ID	Applicant	Reason Code	Appeal Date	Solution	Total RLHP Award	Damaged Residence Address	Applicant Mailing Address	Application Status	Appeal Status
<input type="checkbox"/>	1700004479	101238	Sandy Appeals3	FC Sandy	11/03/2017	1,3	\$26,869.25	10111 Shoe Creek Dr, Baton Rouge, La, 70318	106 Grape St, Selden, ME, 12345	Award Appeals In Progress	Approved

The rejection of a reason for the appeal results in the color of the respective reason code icon changing to red.

<input type="checkbox"/>	Application ID	Account ID	Applicant	Reason Code	Appeal Date	Solution	Total RLHP Award	Damaged Residence Address	Applicant Mailing Address	Application Status	Appeal Status
<input type="checkbox"/>	1700004475	101232	Sandy Appeals5	FC Sandy2	11/01/2017	2,3	\$29,578.80	10232 Sims Rd Denham Springs, La, 70706	106 Grape St, Selden, ME, 12345	Award Appeals In Progress	Approved

Once all the reasons have been given a determination of accept or reject, a decision can be made for the overall appeal. Appeal workers with the additional role of *Appeals Resolver* will be able to take that action through the *Resolve* button. The button displays under the *Action* column once determinations are done for all the appeal reasons of an application. User with *Appeals Resolver* Role must Filter Assigned/Unassigned for "All".

<input type="checkbox"/>	Application ID	Account ID	Applicant	Reason Code	Appeal Date	Solution	Total RLHP Award	Damaged Residence Address	Applicant Mailing Address	Application Status	Appeal Status	Parish	Details	Action
<input type="checkbox"/>	1700004527	101296	Rene Eutler	FF Sancy	11/07/2017	3	\$15,000.00	35300 Walker Rd North, Waukegan, La, 70775	123 Main Street, Dunkirk, NY, 14048	Award Appeals In Progress	Rejected	Livingston	Appeal History Letter	Resolve
<input type="checkbox"/>	1700004479	101238	Sandy Appeals3	FC Sancy FR Sancy	11/03/2017	1,3	\$26,869.25	10111 Shoe Creek Dr, Baton Rouge, La, 70318	106 Grape St, Selden, ME, 12345	Award Appeals In Progress	Approved	Eaton Baton Rouge	Appeal History Letter	Resolve
<input type="checkbox"/>	1700004475	101232	Sandy Appeals5	FC Sancy FR Sancy2 FF Sancy FC	11/01/2017	2,3	\$29,578.80	10232 Sims Rd, Denham Springs, La, 70706	106 Grape St, Selden, ME, 12345	Award Appeals In Progress	Approved	Livingston	Appeal History Letter	

Clicking the *Resolve* button displays a pop-up with the ability to add comments and Accept or Reject the overall appeal for the application.



Appeal Resolution

Applicant:

Account ID:

Damaged Residence Address:

Solution: 3

Total RLHP Award: \$0.00

Resolution

- | | |
|---|---|
| <input type="checkbox"/> Accepted - Ownership Updated | <input type="checkbox"/> Accepted - Occupancy Updated |
| <input type="checkbox"/> Accepted - Structure Type Updated | <input type="checkbox"/> Accepted - Prior Federal Assistance Compliancy Updated |
| <input type="checkbox"/> Accepted - FVL Updated | <input type="checkbox"/> Accepted - DOB Amount Updated |
| <input type="checkbox"/> Accepted-Grant Calculation Updated | <input type="checkbox"/> Rejected |
| <input type="checkbox"/> Invalid-Duplicate Appeal | <input type="checkbox"/> Withdrawn |

Comment

Accept Reject

The user is required to select at least one Resolution Reason, as well as enter a Resolution comment. On the click of the Accept button, the screen expands to include a checkbox confirming the necessary updates have been made for the GO screen and a list of available actions. The appeal status also changes to *Approved*.

☐ I have made the necessary data updates for the appeal via the grant override screen.
Required

Available Actions

Return To Award Acknowledgement

Return To Award Acknowledgement

Return to Readiness Review

Return to Level 1 QC In Progress

Return to First QC Award Review In Progress

Return to Second QC Award Review In Progress

Determination Comment

Appeal Resolution : Approved

Resolution

☐ Accepted-Ownership updated

☐ Accepted-Parish updated

☐ Accepted-Prior Federal Assistance Compliancy updated

☐ Accepted-DOB amount updated

☐ Accepted-Reimbursement Estimate updated

☐ Rejected

☐ Accepted-Occupancy updated

☐ Accepted-Structure updated

☐ Accepted-FVL updated

☐ Accepted-Repair Estimate updated

☐ Approved-Grant Calculation updated

Comment

Attempting to click the Submit button without selecting the checkbox displays the following *Required* message in red.

☐ I have made the necessary data updates for the appeal via the grant override screen.
Required

Available Actions

Return To Award Acknowledgement

Submit

At this point, users with the *Appeals Resolver* role can enter the GO screen and make any necessary overrides resulting from the appeal.

The following message displays on the GO screen when the appeal has not been accepted or rejected on the Resolve screen. As such, the appeal must be resolved before data updates can be performed.

Criteria History and Override

This application can not be edited in status: Award Appeals In Progress and when Appeal is in the status: Award Appeal In Progress

Criteria: SBA

Criteria Element History

After checking the checkbox indicating the GO screen edits are complete, the user can select one of the available actions to re-insert the application back into the workflow. The Application status will change accordingly upon clicking the Submit button and the application will no longer be in Appeals processing.

Available Actions

Date

At this point the user may create a subsequent appeal if desired.

Appeal Determination

No hearing will be provided to applicants who file an appeal. The review of the appeal will only be based on the appeal request and supporting documentation submitted by the Applicant. The Appeals Team will decide whether policies and procedures were followed correctly. An appeal based solely on disputes with the policy and/or procedures of the RLHP will be denied. Documents provided by the Applicant will be reviewed by the Appeals Team to determine if the RLHP properly applied policies and procedures based on the documented evidence within the Applicant's file. The appeal decision will be mailed to the Applicant by certified mail with receipt requested. All appeal decisions and official communications made by the Appeals Team will be documented in eGrants.

Application Status Changes Upon Determination

After an Appeal Determination is made the following status changes will be made according to the status the Appeal originated from;

1. Award Acknowledgement
 - a. In instances where an appeal review results in no changes to an applicant's GoScreen data and the applicant appealed from Award Acknowledgment, the appeals team will return the applicant to Award Acknowledgment.
2. Award Consultation
 - a. In instances where an appeal review results in no changes to an applicant's Go Screen data (or the applicant is deemed Ineligible and appealed from an Ineligible determination after selecting Award Consultation (i.e. Ineligible - Award Consultation – Appeals - deemed Ineligible) and the applicant appealed from Award Consultation, the appeals team will return the applicant to Award Consultation.
3. First QC Award Review In Progress
 - a. In instances where an appeal determination has been made but additional action is required of the First Award team before the file is complete and ready for QC2 review, the appeals team will return the applicant to First QC Award Review In Progress.
4. Ineligible
 - a. In instances where an appeal review results in confirmation of an applicant's ineligibility and the applicant appealed from Ineligible status, the appeals team will return the applicant to Ineligible.
5. Level I QC In Progress
 - a. In instances where an appeal determination has been made but additional action is required of the VOB team before the file is complete and ready for QC2 review, the appeals team will return the applicant to Level I QC In Progress.
6. Readiness Review
 - a. In instances where an applicant has appealed from Ineligible status and the appeal determination results in a confirmation that the applicant is eligible for the program, the file is returned to Readiness Review to afford the case management team the opportunity to complete the case management functions and ultimate submission to VOB and beyond (i.e. ineligible applicants would not typically have all documentation necessary to complete a VOB review/award calculation and now need to go back to case management to obtain those docs after appeals deems the applicant eligible).

7. Second QC Award Review In Progress

- a. In instances where an appeal review results in changes to an applicant's Go Screen data and the applicant is ready for final award calculation (e.g. no reconstruction hold, no proposed relocation ERR pending, etc.), the applicant is submitted for a QC2 review.

8. Zero Award

- a. In instances where an appeal review results in no changes to an applicant's GoScreen data and the applicant appealed from Zero Award, the appeals team will return the applicant to Zero Award.

- Note: if an applicant appeals a Zero Award determination and uses **elevation only** as a basis to substantiate their appeal, the file will remain at Zero Award.

-

9. Initial Entry

- a. In instances where an applicant has been determined Ineligible Due to Non-Responsiveness and requires reactivation, Appeals will select the *Return to Initial Entry* action, which will return the Application to *Initial Entry*.

Appeals Log

The Appeals Log will be maintained under the Appeals Library in SharePoint. The Appeals Log will contain the following elements:

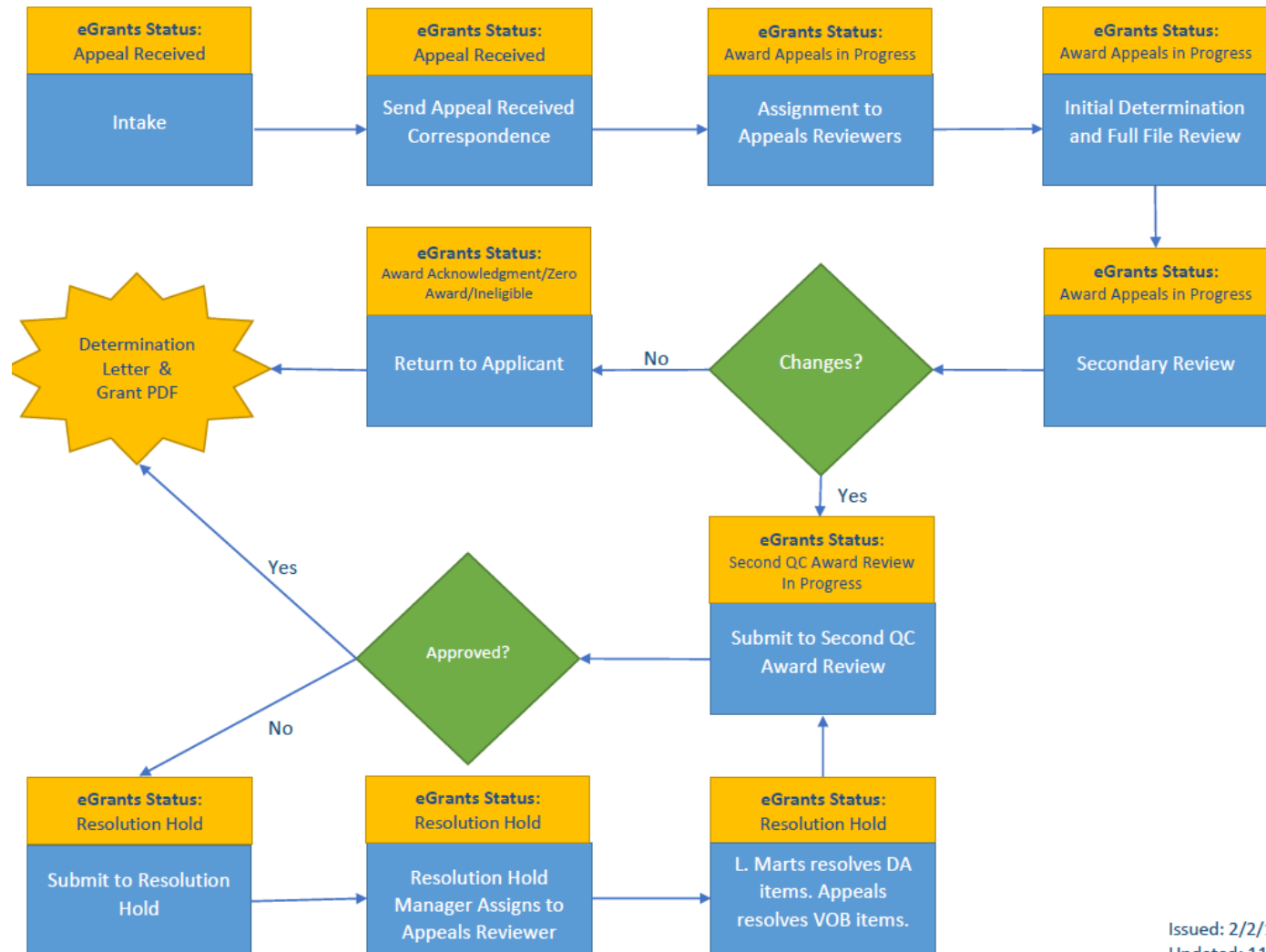
- Date Appeal received
- Appeal Aging
- Applicant Name
- Applicant ID Number
- Appeal Issue(s)
- 10-Day Acknowledgment note sent to Applicant (Date of Acknowledgment)
- 10-Day Acknowledgment note eGrants upload status
- Appeal Approval/Denial
- Final Determination Letter (Date)

Appeals Inspections Log

The Inspection Log will be maintained under the Appeals Library SharePoint. The Inspection Log will contain the following elements:

- Account ID
- Applicant Name
- Inspector Name
- Date and Time of Inspection

eGrants Appeals Workflow



Appeals Second Quality Control Award Review Path

Eligibility Status Appeals

If a record is deemed Ineligible prior to *Second Quality Control Award (QC2) status* it can be moved to the *Ineligible status* as per the business process in eGrants with required notes.

If a record is deemed **Ineligible prior to QC2 status** and is appealed AND if;

- The Appeal determination **overrules** the Ineligible determination then the record is processed as per Appeals SOP and returned to its previous active status prior to Ineligible
OR if;
- The Appeal determination **upholds** the Ineligible determination then the record is processed as per Appeals SOP and returned to *Ineligible status*.

If a record is deemed **Ineligible after passing QC2 status** and is appealed AND if;

- The Appeal determination **overrules** the Ineligible determination then the record is processed as per Appeals SOP and returned to the *pre-QC2 status* required to processed as per business process in eGrants
OR if;
- The Appeal determination **upholds** the Ineligible determination then the record is processed as per Appeals SOP and returned to *Ineligible status*.

Award Determination Completed Appeals

If a record is appealed after passing *QC2 status* (zero award; award acknowledgement; contractor selection; ready for closing) and before *Closing Completed Status* AND if;

- The **Appeal determination is approved** the record is sent to QC2 for review then;
 - If QC2 **concurs** with the approval, the record moves to *Award Acknowledgement* (this action automatically updates award letter, per GO screen updates)
OR if;
 - QC2 **does not concur** with the approval the record moves to *Resolution Hold status*
 - Resolution Hold Manager role assigns the records to Appeals Team reviewer(s) (with Resolution Hold Worker role(s))
 - If Appeals Team reviewer **resolves** deficient items
 - Updated appealed record is resubmitted to QC2 as per business process in eGrants
 - If Appeals Team reviewer **cannot resolve** deficient items
 - Appealed record is processed as per Appeals SOP & business process in eGrants (returned to Zero Award, Award Acknowledgement with original award amount/letter (allowing the applicant to accept the award or withdraw from the program)).
- OR if;*
- The **Appeal determination is denied** then the record is processed as per Appeals SOP & business process in eGrants and returned to its former status.

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Appendix A: Appeal Determination Letter Granted

APPEAL DETERMINATION

Month DD, 20XX

Applicant Name
Mailing Address
Mailing Address

Account ID: **XXXXXX**

Dear **Applicant Name**:

The Restore Louisiana Homeowner Assistance Program (RLHP) received your Request for Appeal. You requested a review of the following RLHP determinations:

- I. [Repair or Reimbursement Estimates]**
- II. [Duplication of Benefits]**
- III. [Grant Calculation]**

Based upon the Program Policies which are available at <http://restore.la.gov/homeowner-assistance-program/>, a review of your application and the supplemental information provided with your Request for Appeal, RLHP has made the following determinations:

- I. [Request for Appeal of Repair or Reimbursement Estimates should be granted. As a result of this decision, adjustments have been made to the Scope of Work of your Repair and/or Reimbursement Estimates.]**
- II. [Request for Appeal of Duplication of Benefits Calculation should be granted. As a result of this decision, your Duplication of Benefits amount has been appropriately adjusted.]**
- III. [Request for Appeal of Grant Calculation should be granted. As a result of this decision, adjustments have been made to your Grant Calculation.]**

As a result of the review of your Request for Appeal, RLHP may have made corrections to other areas of your file as necessary and in accordance with Program Policies.

Please note that all Appeal determinations are final. As a result of this decision, your application will be placed back into processing. Please contact your assigned RLHP case manager at 866-735-2001 to ensure that RLHP has all necessary information to continue processing.

In the event a future SBA policy change would positively impact the amount of your grant award, your grant will be recalculated accordingly and you will have the option to accept and sign a grant agreement with the updated grant award. RLHP will notify you in the event an SBA policy change positively impacts your grant award.

Sincerely,

The Appeals Teams
Restore Louisiana Homeowner Assistance Program

Appendix B: Appeal Determination Letter Denied

APPEAL DETERMINATION

Month DD, 20XX

Applicant Name
Mailing Address
Mailing Address

Account ID: **XXXXXX**

Dear **Applicant Name**:

The Restore Louisiana Homeowner Assistance Program (RLHP) received your Request for Appeal. You requested a review of the following RLHP determinations:

- I. [Repair or Reimbursement Estimates]**
- II. [Duplication of Benefits]**
- III. [Grant Calculation]**

Based upon the Program Policies which are available at <http://restore.la.gov/homeowner-assistance-program/>, a review of your application and the supplemental information provided with your Request for Appeal, RLHP has made the following determinations:

- I. [Request for Appeal of Repair or Reimbursement must be denied for the following reasons:**
 - **No additional program eligible Scope of Work was identified based on a complete review.]**
- II. [Request for Appeal of Duplication of Benefits must be denied for the following reasons:**
 - **We evaluated the sources of funding that have been made available to you by FEMA, SBA, insurance, and other sources for the express purpose of repairing your home. These funds, per federal law, are considered “Duplication of Benefits” or “DOB” and must be deducted from your reimbursement and/or repair estimate values.]**
- III. [Request for Appeal of Grant Calculation must be denied for the following reasons:**
 - **Grant Calculation was performed accurately in the initial determination.]**

As a result of the review of your Request for Appeal, RLHP may have made corrections to other areas of your file as necessary and in accordance with Program Policies.

Please note that all Appeal determinations are final. As a result of this decision, your application will be placed back into processing. Please contact your assigned RLHP case manager at 866-735-2001 to ensure that RLHAP has all necessary information to continue processing.

In the event a future SBA policy change would positively impact the amount of your grant award, your grant will be recalculated accordingly and you will have the option to accept and sign a grant agreement

with the updated grant award. RLHP will notify you in the event an SBA policy change positively impacts your grant award.

Sincerely,

The Appeals Teams
Restore Louisiana Homeowner Assistance Program

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Appendix C: Appeal Withdrawal Letter

WITHDRAWAL OF APPEAL

Month DD, 20XX

Applicant Name

Account ID: **XXXXXX**

Mailing Address

Mailing Address

Dear **Applicant Name**:

The Restore Louisiana Homeowner Assistance Program (RLHP) received your Request for Appeal. Subsequently, you asked RLHP to withdraw your Request for Appeal. Your withdrawal request has been approved.

Please note that all Appeal determinations are final. Please contact your assigned RLHP case manager at 866-735-2001 if you have any questions.

Sincerely,

The Appeals Teams

Restore Louisiana Homeowner Assistance Program

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Appendix D: Appeal Invalid Letter

INVALID APPEAL

Month DD, 20XX

Applicant Name

Account ID: **XXXXXX**

Mailing Address

Mailing Address

Dear **Applicant Name**:

The Restore Louisiana Homeowner Assistance Program (RLHP) received your correspondence to the Appeals Team. Your correspondence does not meet the Program requirements for an appeal, and cannot be processed. Please see the Program Policies that are available at <http://restore.la.gov/homeowner-assistance-program/>.

If you intend to file an appeal, please resubmit your request for an appeal with the required documentation. If you have any questions, please contact your assigned RLHP case manager at 866-735-2001.

Sincerely,

The Appeals Teams

Restore Louisiana Homeowner Assistance Program

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