 <p>HURRICANE HARVEY RELIEF PROGRAM FOR TEXAS SMALL BUSINESS</p>	<p>New American Strategies, Inc.</p>	<p>Procedure Number</p>	<p>P12-2019</p>
		<p>Procedure Owner</p>	<p>Amy Piatt</p>
		<p>Effective Date</p>	<p>President's Signature Date</p>
		<p>Revisions</p>	

Procedure Title: Citizen Complaint Policies and Procedures

Purpose

It is the policy of the New American Strategies, Inc. (NASI) to respond to citizen complaints in accordance with the provisions under the Texas General Land Office (GLO)'s most recent Harvey Disaster Recovery Citizens Participation Plan and other authority set forth below.

Scope

The procedures for this process are provided to all impacted NASI staff. These procedures are written in accordance with day-to-day operations performed by NASI staff.


Means by which complaints are received into NASI

Complaints will be received as follows:

- (1) Sent to NASI through the Texas General Land Office (GLO)
- (2) Called in to NASI by telephone to the main NASI Information Line at 281-677-3881
- (3) Through the United States mail to NASI's Offices at 1001 West Loop South, Ste 600 Houston, Texas 77027
- (5) By email address at: complaint@texasbackinbusiness.com
- (6) By facsimile at: 281-677-3922
- (7) By hand delivery to NASI 's Offices at: 1001 West Loop South, Ste 600, Houston, Texas 77027

Authority

GLO's June 25, 2018 Action Plan, as amended; and Citizen Participation Plan
NASI's Standard Operating Procedures and Guidelines for the Economic Revitalization Program (ERP)

<p>President's Signature</p> 	<p>Date</p> <p>Sept 1, 2019</p>
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Complaint Procedures

1. The procedures below outline the steps required to process complaints from citizens about grants, programs, and/or services provided through NASI to any community eligible under a NASI program. These complaints may be more particularly identified in the GLO's Citizen's Participation Plan (CPP), Action Plans, amendments, etc. The Complaint Procedures in the CPP require such complaints to be submitted in writing and that a timely written response will be provided within fifteen (15) working days, where practicable. However, NASI will endeavor to respond to complaints within 3 to 5 business days, from receipt of a complaint. If the complaint is not resolved within 3 to 5 business days, NASI will submit a final written determination not later than 15 working days from receipt of the initial response, where practicable. These procedures may also cover any and all special grant programs which include, but are not limited to CDBG-DR. If an applicant has already filed a complaint with NASI; and is unsatisfied with NASI's final determination, he or she may file a second level complaint to the GLO at:

- Telephone via the CDR Harvey Hotline telephone number 1-844-893-8937, or GLO-CDR main number 512-475-5000
- Email GLO-CDR at cdr@recovery.texas.gov
- Online at recovery.texas.gov via the Online Contact Form
- Written letters mailed directly to GLO-CDR:
 ATTN: GLO-CDR
 Texas General Land Office
 PO Box 12873
 Austin, TX 78711-2873

Step 1

- Upon receipt, President's designee verifies that the item is a complaint as described in the CPP, as to distinguish it from general inquiries, correspondence, or concerns that may be outside of the scope of those described in the CPP. The complaint is logged into the spreadsheet (The Complaint Log), attached hereto.

Step 2

- Within 3 to 5 business days of receiving the complaint, NASI will endeavor to resolve the complaint. However, NASI will send a general letter of acknowledgment to send to the complainant indicating that the NASI will make every effort to respond within fifteen (15) working days, where practicable, if the complaint is not resolved within 3 to 5 business days. All appropriate parties will be copied on any letters mailed; and all copies can be accessed from the Complaint Log in the Cloud. Copies of documents can also be accessed from NASI's proprietary application system, in each applicant's individual file, under miscellaneous.

- GLO has access to this file. Responses will be sent by certified mail, return receipt requested and regular mail, if NASI has an address. Or it will be sent by email, if that is the only contact information available. If an email acknowledgment is not received by NASI, NASI will make 2 additional attempts to reach the complaining party. If there is no response after the third attempt to contact the complainant, after 10 days have passed, the complaint will be marked as "dismissed," and all documentation will be noted in the record.

Step 3

- All complaints will be numbered in chronological order on the Complaint Log that is maintained by designated staff.

Step 4

- Designated staff will submit the complaint to the Consultant, if necessary, who will work with designated staff and the underwriters, as may be necessary, to provide a resolution.

Step 5

- Consultant will work with the parties to provide the direction the response should take, to provide an immediate resolution. In the absence of an immediate resolution, designated staff will request additional documentation, schedule a conference (via telephone or personal), or escalate the complaint to the GLO Project Manager, within 3 days of establishing contact, if the issue cannot be resolved.

Step 6

- Once the response is prepared, the designated staff will obtain the President's signature, make two sets of any attachments, if any, and submit the response to the complaint. Designated staff will ensure that President's signature is obtained in a timely manner and will update the status of the complaint in the Complaint Log.

Step 7

- Once the President's signature is obtained, NASI designated staff will send the original with attachments to complainant by certified mail return receipt requested, unless complainant provides an e-mail address. NASI staff will coordinate delivery of any batches of complaints with the GLO's Office; and if the GLO requests, documentation will be provided at least monthly, or at the frequency and/or the manner requested by the GLO.

Step 8

- NASI Designee will ensure both physical files and cloud files are properly documented and maintained; and that the GLO receives reports, at least monthly. NASI also understands that NASI staff may need to access other systems as may be requested by the GLO. Back-up documents will be filed in each applicant's application file, in the miscellaneous section of NASI's proprietary system that can be accessed by GLO staff.

Responsible Parties

Dan Slane, CEO

Amy Piatt, Executive Administrative Assistant

Brenda Arnold-Scott, Consultant