Built to Last

DRAFT Basic Procedures Manual

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II. Definitions

- **Applicant** – Referrals from PHDC, one of the other Team Member programs, or from PEA to the Pilot who are candidates for additional services but have not yet agreed to participate in the Pilot.
- **Built to Last (BTL)** – The model for delivering holistic home improvement by coordinating a network of independent home repair and improvement programs that was developed by the Philadelphia Energy Authority.
- **Case Manager** – Provides a single point of contact and communication to assist Applicants through the full range of Pilot process steps from intake through construction completion, warranty, and closeout survey. This role will be staffed by UESF for the Pilot.
- **Case Management Lead** – An experienced Case Manager in charge of ongoing training and problem solving for the Case Managers working directly with Applicants. This role will be staffed by UESF for the Pilot.
- **Certification Signature Form** – A signed form acknowledging the results and recommendations in the Property Assessment and affirming a Participant's willingness to proceed with one or all the programs. Upon signature, the Participant is referred to as a Client. This form is signed prior to executing the Project Agreements.
- **Change Order** – An amendment to the construction agreement that changes the scope of work and/or time of performance. A change order may or may not result in a change to the project budget.
- **Client** – A Participant who has agreed to participate in the Pilot and signed a Certification Signature Form indicating willingness to proceed with executing Project Agreements.
- **Client Management System (CMS)** – An online system for records sharing and retention that can also track the timeliness of outreach, completion of a full Pilot application, and all other stages of program participation.

- **Desk Review** – The stage and process by which the Property Assessment Form, photos and any other report information is consolidated and updated into a final version of the assessment results, proposed program funding sources and special considerations that result in the Estimated Cost to Repair document.
- **Estimated Cost to Repair (ECR)** – The final result of a Desk Review. The ECR is based on the Home Assessor's professional assessment of the full scope of property needs and Team Member program requirements or limitations and will be refined and finalized with Team Member input. The ECR will also be used to generate sub-scopes and invoice templates for property inspection work progress or completion.
- **Financial Manager** – Part of the Home Assessor agency responsible for tracking and coordinating all construction payments with other Team Member agency Financial Managers. This role will be staffed by ECA for the Pilot.
- **Home Assessor** – Manages the Property Assessment and develops a detailed scope of work. This role will be staffed by ECA for the Pilot.
- **Notice to Proceed** – A written document issued by the Project Supervisor to a subcontractor that states the date on which the subcontractor can begin work.
- **Owner(s) of Record** - The person(s) recorded on public real estate records as the owner(s) of the property.
- **Participant** – An Applicant who agrees to participate in the Pilot, is determined to be eligible for and participates in more than one of the Team Member programs but who has not yet signed the Certification Signature Form.
- **Participant Summary Worksheet** – A worksheet that identifies which Team Member program(s) the Participant qualifies for. This list of eligible programs informs the Home Assessor and helps them prepare for an onsite visit so that they can determine which items identified during the Property Assessment are eligible under one or more programs. The Worksheet is appended to the Property Assessment Form.
- **Pilot** – A project will test the Built to Last model for collaborative interventions provided by BTL Team Members' individual programs in 100 homes in two sets of 50-home projects beginning in 2021 and 2022 respectively, and which the BTL Team Members expect will lead to an expanded, ongoing program to serve Philadelphia.
- **Program Budget** – The full project pricing that is derived from the final Property Assessment and identifies which repair line items will be funded by which program.
- **Program Director** – The PEA representative in charge of the overall Built to Last model development and priorities. The Program Manager reports to the Program Director.
- **Program Manager** – The PEA representative in charge of daily oversight and coordination with Case Management, Project Supervisor and Team Members and management of the weekly BTL production meetings and reporting needs. The Program Manager reports to the Program Director.
- **Project Agreements** – Legally binding agreements that outline certain terms and conditions that must be followed to allow for home repairs or improvements to be completed. There are two types of Project Agreement: The Funding Agreement, which is executed between Client and Team Member to obligate funding from a specific funding source on the Client's behalf, and the Construction Agreement, which is executed between Team Member and Program Coordinator to outline the scope of work, time of

performance, amount of funds to be paid to the Program Coordinator, and performance standards to which the Program Coordinator will be held. Team Members may elect not to execute a Funding Agreement with the Client or may combine the Funding and Construction Agreements into a single Project Agreement.

- **Project Coordinator** – Provides construction coordination and oversight of the construction work at each Client home. This role will be staffed by ECA for the Pilot.
- **Project Meeting** – Weekly Team Member and Program Director and Manager meeting to monitor production, review completed stages of each Participant or Client project. The goal of the Project Meeting is to secure a standard time for all Team Members to oversee and respond to the BTL pilot needs, provide solutions to unforeseen needs and coordinate any processing delays with their respective agency.
- **Project Supervisor** – Oversees the work of the Home Assessor and Project Coordinator and may also serve in either or both of these roles. This role will be staffed by ECA for the Pilot.
- **Property Assessment** – An inspection of the home conducted by one or more certified professionals to determine which repair or improvement scope of work items might be served by the Team Member programs.
- **Property Assessment Form** – The template that the Home Assessor uses to document their assessment of the property.
- **Property Inspection** – An onsite property visit that monitors ongoing construction and confirms quality and completion to support releases of funds.
- **Quality Control Specialist** – Reviews all applications for completion and accuracy prior to authorization for the file to be listed as complete and ready for home assessment. This position may be filled by the Case Management Lead. This role will be staffed by UESF for the Pilot.
- **Substantial Completion** – The point in a project where the contractor or subcontractor is entitled to receive full payment for their work, less amounts retained to secure completion of minor finish work or repair of defective items.
- **Team Member** – A Built to Last program stakeholder that independently manages a home repair or improvement program.
- **Team Member Assessors** – Home assessors affiliated with individual Team Member programs that may be required to conduct a supplemental home assessment in order to develop the Property Assessment.

III. Pilot Summary

A. Intent and Goals

Built to Last (BTL) is the vision of the Philadelphia Energy Agency (PEA) and other program executives leading a coordinated effort to better align and streamline the various housing repair services and improvement programs available to residents throughout the City of Philadelphia. The purpose of BTL is to offer additional energy reduction building improvements beyond the emergency and basic repair needs already offered while providing a clear one-stop-shop experience to those in need without duplication of efforts. Coordinated home repairs or improvements will address deferred maintenance, transforming homes from a liability into an asset and a source of stability for the household. Clean energy interventions can offer additional benefits of affordable utility costs and resilience and can be added once critical home repairs and deferred maintenance needs are addressed.

The goal of the **Pilot** program is to test the BTL model by providing coordinated home repair and improvement services to 100 homes in two sets of 50-home projects beginning in 2021 and 2022 respectively. The Pilot will focus on grant programs.

BTL is therefore focusing the Pilot on aligning and streamlining services for the following Built to Last program stakeholders referred to as the **Team Members**:

- Philadelphia Housing Development Corporation (PHDC)
- Energy Coordinating Agency (ECA)
- UESF
- Philadelphia Department of Public Health (PDPH)
- Philadelphia Corporation for Aging (PCA)
- Habitat for Humanity Philadelphia (Habitat)
- Philadelphia Gas Works (PGW)
- CMC Energy Services (CMC)

Pilot **Applicants** are referrals from PHDC, one of the other Team Member programs, or from PEA. When an Applicant agrees to participate in the Pilot and is determined to be eligible and agrees to participate in more than one Team Member program they are referred to as **Participants**. Upon signing the **Certification Signature Form** indicating their willingness to proceed with executing **Project Agreements**, Participants are referred to as **Clients**. Applicants that choose to only participate in the program they were originally referred from will be returned to that program for forward processing and will not become participants in the Pilot.

Pilot applicants will primarily come from the PHDC Basic Systems Repair Program (BSRP). PHDC will make referrals to the Pilot when it finds that the home requires basic systems repairs exceeding the BSRP program funding limit or that the home needs repairs to multiple home systems (i.e. envelope, plumbing, electrical, and/or mechanical).

B. Key Roles

The Pilot is directly managed by the PEA **Program Manager** who reports to the PEA **Program Director**.

The following three roles are critical for success and insight for developing a more permanent BTL program:

1. Case Management

Case Managers provides a single point of contact and communication to assist Applicants through the full range of Pilot process steps from intake through construction completion, warranty, and closeout survey.

Case Managers introduce Applicants to the BTL program structure and present the value proposition of participating in the Pilot. When Applicants opt into participating in the Pilot, Case Managers screen the new Participants for Team Member program eligibility and for other services that the home or household may be qualified for. The Case Manager provides Participants with guidance on these programs and services and supports the Pilot application process. The Case Manager will coordinate the completion of a Pilot application. The Case Managers apply household eligibility underwriting procedures as required by each Team Member program.

Case Managers help coordinate assessments between the Participant and the lead Home Assessor (described below) based on which programs the Participant may be eligible for. Household incomes, ownership structures, basic property information and past program participation are some of the factors that inform the extent to which the Participant might be served. The Home Assessor inspection will determine which of these programs the Participant may in fact utilize and have a repair need for. Applicants remain applicants until they agree to proceed and participate in more than one of the Pilot programs, at which point they become Participants. Once the Participant commits to accepting home repair or improvement services from one or more of the Team Member programs aside from the referral program by signing a Certification Signature form, they are referred to as Clients.

Case Managers are supported by a **Case Management Lead**. The Case Management Lead is an experienced Case Manager in charge of ongoing training and problem solving for the Case Managers working directly with Applicants. The Case Management Lead may provide interim case management when an Applicant's assigned Case Manager is not available and the Case Management Lead serves as the main point of contact for communication with the Project Supervisor and the Program Manager.

The Case Manager Lead may also serve as the **Quality Control Specialist** that reviews all applications for completion and accuracy prior to authorization for the file to be listed as complete and ready for inspection. The Quality Control Specialist role may become a separate position depending on the capacity of the longer-term Case Management team when the Pilot scales to a permanent BTL program.

2. Project Oversight

The **Project Supervisor** oversees the work of the Home Assessor and Project Coordinator and may also serve in either or both of these roles. The **Home Assessor** manages the **Property Assessment** (often referred to as an inspection or home audit), develops a detailed scope of work, and manages **Property Inspections** once construction has started. The **Project Coordinator** provides construction coordination and construction oversight at each Participant home. The Project Coordinator may separately serve as the contractor for other Team Member programs.

The Project Supervisor coordinates assessments to account for repair needs or improvements related to:

- possible structural issues and suitability for repair;
- basic system repair needs (i.e. envelope, electrical, plumbing, and mechanical systems);
- general property maintenance needs for health and safety concerns;
- environmental hazards; and
- energy efficiency, solar power, and resilience.

A comprehensive scope of work evaluation, or Property Assessment**,** will be undertaken in each Participant home to determine which repair or improvement scope of work items might be served by the Team Member programs. The primary property inspector is the Home Assessor. A complete Property Assessment may require additional site visits from other specialists or **Team Member Assessors**, which will be coordinated by the Home Assessor. The Home Assessor will develop an optimal repair scope and confirm which program might best address a particular repair or improvement need.

Each of the existing Team Member programs has their own set of priority repair items, limitations, and approach to inspecting properties. Following the Property Assessment(s), an Estimated Cost to Repair (discussed in Section V) is developed to confirm contributing Team Member programs and pricing. After the Participant becomes a Client and construction begins, one or more follow-up Property Inspections may be required to confirm work completion, verify the construction quality meets program standards, and confirm readiness for payment approvals. Team Member Assessors may also visit the property site as needed to support sign-off or approvals.

3. Financial Management

The Pilot will develop a baseline estimate for each Team Member **Program Budget** using the **Property Assessment Form** (Exhibit A). The Team Member Program Budget is derived from the final Property Assessment and further identifies which repair line items will be funded by which program. Specifically, the Home Assessor applies a line-item cost coding system to the final Property Assessment to estimate a Project Budget for each Team Member program allowing for simplified processing by each Team Member. This Program Budget will itemize each program's completed line items and costs in accordance with the BSRP unit pricing schedule. Except when serving the BSRP program scope of work, if other programs can complete certain construction work items at a reduced cost by employing in-house labor or through access to other certified construction subcontractors not in the BSRP network, these lower costs may be substituted for the standard BSRP unit pricing. After the initial home assessment spreadsheet is completed, this will be uploaded into Salesforce to create work order items, tracking estimated and final costs for each home.

Each Team Member program office will designate their **Financial Manager** as the point of contact to coordinate with the Project Supervisor's Financial Manager.

C. Policies

Each Team Member is an independent organization and the Pilot does not seek to form direct legal partnerships between any Team member. The Pilot does not seek to merge or change funding amounts or sources for any Team Member program. The Team Member programs operate individually and independent of one another and do not constitute an aggregated source of funding even though Participants may realize an aggregated benefit by participating in multiple Team Member programs.

Client participation in each Team Member program is voluntary and requires independent application reviews and approval by each respective Team Member. The Pilot does not revise any Team Member program policy but may modify some steps or procedures to manage the collection of information for intake, home assessment, construction coordination, and/or closeout.

The Pilot does not create new policy consideration nor have the authority to do so for any of the Team Member programs it seeks to coordinate. However, following review of Team Member funding sources, this manual seeks to identify and clarify the following areas of program policy concerns related to the coordination efforts. These program policies are subject to each program's ongoing policies and their own policy team interpretation and inform what BTL may include in coordination and data sharing efforts. This is not a PEA policy recommendation or determination, nor is it one that PEA is authorized to make.

1. Labor and Prevailing Wage Requirements

Each program included in the BTL coordination efforts remains a standalone program subject to each program's independent applicant review and approval, separate agreements for funding and scope and management by their own independent organizational entities and prioritization criteria. For this reason and because the total sources of any one program's federal resources does not exceed $25,000, the requirements of Davis Bacon and Related Acts (DBRA), including prevailing wage, are not triggered.

Even though DBRA applies to "federally assisted" projects in excess of $2,000, applicability is based on the total contract amount being over $2,000. In other words, if even a dollar of federal funds is invested into a project where the total cost is over $2,000, DBRA applies. However, U.S. Department of Housing and Urban Development (HUD) guidelines determine that DBRA does not apply to residential Community Development Block Grant (CDBG) funded projects consisting of fewer than eight (8) units, or to HOME funded projects consisting of fewer than twelve (12) units. For more detail and information regarding federal policies for property rehabilitation please see [HUD - Factors of Labor Standards Applicability | HUD.gov / U.S. Department of Housing and Urban Development (HUD)]

For related but other reasons, it is the understanding of the BTL program that none of the select housing repair programs require State Prevailing Wage reporting and requirements because they do not fit the definition of a "Public Work," which the Commonwealth defines as follows:

> "Public work - Construction, reconstruction, demolition, alteration or repair work other than maintenance work, done under contract and paid for in whole or in part out of the funds of a public body where the estimated cost of the total project is in excess of

> $25,000. The term does not include work performed under a rehabilitation or manpower training program."

The programs do however conform to the definition of "Maintenance Work," which are also exempt from the State Prevailing Wage requirement,

> "Maintenance work - The repair of existing facilities when the size, type or extent of the facilities is not thereby changed or increased."

The individual programs in BTL do not provide any direct funding to Client repair construction benefits that exceeds their estimate and limit of $24,999. The estimates for each program only consider the scope for which that program will provide assistance, and each program's assistance is a standalone contract and agreement that follows their own policies. They are not part of a layered funding program for an overall scope that exceeds $25,000 because they operate individually and independently of whether additional programs will fund additional needs.

For more detail and information regarding Commonwealth of Pennsylvania prevailing wage rules please see Regulations for Pennsylvania Prevailing Wage Act

The BTL approach is effectively no different than the business-as-usual approach. Currently, one program refers an applicant to seek assistance from another program so that Clients may complete other repairs that are beyond the first program's scope or capability, and then allows the applicant to return for additional assistance. For example, if a household is receiving remediation services through the Lead and Healthy Homes Program, they may be referred to the Basic Systems Repair Program for other critical repair needs (for that program to assess). This type of coordination of programs remains the same with BTL whereby BTL provides greater efficiency, coordination, and data sharing between the two programs and organizations. It is because these program activities need to remain available independently to serve those that only need their service that they are considered separate and not triggering Commonwealth of Pennsylvania Prevailing Wage reporting requirements.

BTL may choose to provide additional energy efficiency property improvement grants and options through separate funding coordinated by PEA. But any such assistance offered is subject to new policy considerations and is subject to independent design and policy as required by those sources of funds.

2. Environmental Assessment and Review

Like the prevailing wage policy considerations, none of the individual programs included in BTL require additional federal or state requirements for mandatory lead-based paint abatement due to each program's funding limits of $24,999.

Some city programs inspect for environmental concerns such as mold and asbestos but BTL understands that the BSRP program is an emergency repair program that is considered exempt from NEPA requirements.

IV. Application Intake Coordination

The Pilot forgoes the advertising strategy and central online intake application system envisioned in the full BTL program. Instead, the Pilot will generate Applicants through intake and inspection results from Team Member programs.

BSRP has an existing waitlist of applications being processed and cannot take in new applications from the Pilot that would otherwise bypass the waitlist. Therefore, each set of 50 Pilot Participants will be collected through a process that conforms to existing BSRP processes. Whenever BSRP inspects the next house in their waitlist and the home inspection indicates a need for repairs that either 1) exceed what BSRP can provide on its own, or 2) affect multiple home systems, PHDC will refer such homes to the Pilot. It is anticipated that Applicant attrition will require more than 50 Applicant referrals from BSRP to reach the goal of 50 Clients served in each 50-home project.

The Pilot may also accept Applicant referrals from other Team Member program application and inspection stages so long as they do not require services from BSRP, which is restricted by its existing pipeline as noted above. Referrals from BSRP or other Team Members will include at a minimum:

- Home address;
- Contact information for the main and secondary points of contact; and
- Team Member program that made the referral

The Program Manager will perform an initial review of new Applicants prior to referring them to Case Management to complete the Pilot intake process. The referral from PHDC or other Team Members will take the form of an email notification to the Program Manager and Case Management with access to a secure file for protection of Personally Identifiable Information (PII).

Upon receipt of an initial potential Applicant, the Program Manager will conduct a preliminary review prior to outreach to verify that the potential Applicant:

- Is seeking assistance from one of the Team Member programs;
- Has an address located within City/County limits; and
- Provided some programmatic indication or evidence of repair needs sufficiently (more than $500) greater than the program in which they originally applied or sought assistance OR indication or evidence of repair needs affecting multiple home systems.

Upon confirmation that the Applicant information is sufficient for outreach, Case Managers will be notified and provided access to Applicant information. This notification will be the first step in a documented **Client Management System (CMS)** and will serve to track the timeliness of outreach, completion of a full Pilot application, and all other stages of program participation.

A. Outreach/Messaging to Potential Applicants

Case Management will have an FAQ sheet and talking points to message to potential homeowner Applicants brought into the Pilot. The FAQ will include commonly asked questions and provide a brief overview of:

- The nature and goals of the Pilot;
- The Applicant's option to opt out of participating in the Pilot;
- What to expect if electing to participate in the Pilot, including what additional documentation is required to participate;
- Ground rules for participation;
- Which Team Member programs are included in the Pilot and information about their organizations and services;
- The types of property repair or improvement resources potentially available to Applicants; and
- Detailed description of home energy improvements such as solar power, heat pump HVAC and water heating, and street trees.

At least three (3) attempts of outreach via phone *and* email or text by Case Managers over the course of a two-week period must be documented before initial determination that an Applicant is "unresponsive." The Case Managers will coordinate with the original referral program and allow for one final attempt at contacting the Participant before sending a final written notification to the Applicant. If there is no follow-up contact within the time allotted after the Applicant is notified in writing, the Applicant will be determined unresponsive to the Pilot program and the original source of the referral program will be informed. At this stage, the Applicant will no longer be participating in the Pilot and any further attempts to engage with them will be made by the referring Team Member program.

B. Case Management Coordination and Application Selection for Pilot Participation

Case Management will have a preliminary program eligibility screening tool that can help guide their documentation collection and communications with Pilot Applicants. If an Applicant's income levels prevent them from participating in a certain program, this will be documented and that program pathway or set of options will not be made available or communicated to the Applicant unless the Applicant inquires further. For example, the Weatherization Assistance Program (WAP) is only available to income qualified households and if no previous WAP funds served the property within the last 15 years. If Applicants appear on a list of properties that previously received weatherization assistance in the last 15 years, approval for WAP will be omitted and verbally communicated to the Applicant but formally noted in the final notification sent under subsection D below.

C. Application Completion, Sharing for Upload and Program(s) Underwriting

Case Managers will log into their secure system of record or keep a log on the CMS that documents:

- Initial date of contact and initial application intake with Applicant for the Pilot;
- Date of Applicant's confirmation of opting in to participate in the Pilot (an Applicant that is eligible and elects to participate in the Pilot is referred to as a Participant);
- Clear case notes on outcome and next steps discussed with Applicant and any ongoing Applicant concerns or special needs such as language assistance services, special times they are most available for contact or approved alternative contacts;
- Outstanding documentation needs and dates and efforts to follow-up and obtain them;
- Date all initial application intake documents are received;
- Date and checklist for document review and underwriting for various program eligibility needs;
- Summary of follow-up documentation needs if/when proceeding with Property Assessment and which programs the Participant's household qualifies for prior to Property Assessment;
- Log of outcomes of weekly Team Member Project Meetings to review and confirm which programs the Participant should receive inspection analysis for;
- Date and copy of draft correspondence notifying Participant which programs they are eligible for and requesting confirmation of which they are opting to participate in; and
- Date and copy of completed and signed applications for each program that the Participant confirms they are opting to participate in.

Each stage of processing will have an estimated timeline indicating how long an Applicant has to respond and/or resolve certain steps. This can be developed with the Case Management team and clarified with further protocols developed over time. Most stages should generally follow the "three strike" policy outlined in IV.A above.

D. Applicant Approval and Inspection Coordination

The Case Manager will note in their system of record and confirm with the Program Manager which programs a Participant is preliminarily eligible for and notify the Participant of the of the various programs for which they will be considered.

Once the Participant provides approval for the assessments through the programs they pre-qualify for, Case Management will log the responses and assist the Home Assessor with scheduling a Property Assessment.

V. Property Assessment and Assessor Coordination

The Home Assessor will seek to conduct a single Property Assessment at each Participant property for:

- Code compliance;

- Health and safety hazards;
- Environmental concerns (e.g. lead, mold, radon, asbestos); and
- Energy performance improvements.

Assessing the whole set of needs in a property for multiple programs with only one assessor and assessment will create a more efficient service delivery model and improved Participant experience. However, some Pilot program partners may require their own separate assessment. Also, Team Member programs referring Applicants to BTL may have already completed a program-specific Property Assessment, as is the case with referrals from BSRP. A goal of the initial Property Assessment is to determine if any additional Team Member assessments may be needed and to work with Case Managers to make sure they are scheduled and conducted. The Pilot seeks to have the Home Assessor coordinated with other Team Member Assessors to conduct all assessments on the same day when possible to consolidate the project schedule and minimize impact on the Participant.

The Home Assessor will receive the results from Team Member Assessors and consolidate the results by conducting a **Desk Review**, as described below. Separate assessments may include:

- ECA Weatherization Program (WAP) blower door and WAP specific audit;
- Environmental or pest inspection and/or testing;
- Lead and healthy homes evaluation;
- Aging-in-place needs assessment;
- Electric and gas energy conservation measures evaluation;
- Structural engineering assessment;
- Survey when there may be possible encroachments or lot line concerns; and
- Solar viability

The Property Assessment and any additional assessments will help determine the level of repair or improvement needs and can further identify which programs the Participant might qualify for. When the full BTL program is implemented, the Property Assessment Form will feed the relevant data back into the respective Team Member program systems of record to ensure all program partners have access to data needed for reporting and auditing purposes. For the Pilot, if the Home Assessor collects assessment details for Team Member programs, the data will be provided to the Team Member via the Property Assessment Form (Exhibit A). The Property Assessments will be uploaded to the secure CMS and shared with all Team Members.

After the Property Assessment is completed, the Home Assessor will conduct a Desk Review to order any specialized assessments such as asbestos or structural concerns and to consolidate the assessments into the final Property Assessment. The Desk Review will yield a comprehensive list of repair needs and improvements and use these to determine which of the Team Member programs are best suited to fulfill the full scope of property needs.

The Home Assessor will then assign a program code to each of the line items in the Property Assessment. This **Estimated Cost to Repair (ECR)** is based on the Home Assessor's professional assessment of the full scope of property needs and Team Member program requirements or limitations and will be refined and finalized with Team Member input. The ECR will also be used to generate sub-scopes and invoice templates for work progress or completion.

A. Property Assessment & Resident Engagement

Once the Case Manager has completed intake with a Participant, they will notify the Project Supervisor and Home Assessor that the Participant is ready for Property Assessment. The Home Assessor will review the existing BSRP (or other program) initial inspection, case file notes, and data from the completed Pilot application. The Pilot application results will be used to pre-populate the **Participant Summary Worksheet**. The dashboard identifies which Team Member program(s) the Participant qualifies for. This list of eligible programs informs the Home Assessor and helps them prepare for an onsite visit so that they can determine which items identified during the Property Assessment are eligible under one or more programs.

The Case Manager and Project Supervisor will exchange Participant information so all critical data is stored on the CMS. The Case Manager will also support the Home Assessor to schedule a Property Assessment with the Participant. The Case Manager will provide an FAQ and guide on what a Participant must do to prepare for inspection, such as move materials blocking passageways and make all rooms or spaces accessible. The Home Assessor and Case Management will further coordinate to ensure Participants are reminded of the time of the inspection and prepared to receive the Home Assessor.

As noted in Section IV, most Pilot Participants will be referred by PHDC after an initial BSRP Property Assessment. Further, ECA will serve as the BSRP contractor and Home Assessor for the Pilot. This dual role allows ECA to leverage their initial home visit to begin the BSRP pre-construction walkthrough and to perform a Home Assessment.

The Home Assessor will collect details and photographs of relevant repair needs or home features of concern and address them in the Property Assessment Form. These photos and notes will serve as additional information and exhibits to support the Desk Review and inform the weekly **Project Meetings** coordinated by the Program Manager. Once the Property Assessment is complete, the Home Assessor may review the scope with the Participant and discuss their preliminary finding, improvement requirements, and/or recommendations based on each Team Member program's services. Team Member Assessors should refer Participant questions directly to the Home Assessor or Case Manager to reduce the chance of confusion for the Participant.

B. Lead Remediation

If lead remediation services are required as a first step, the Participant Summary Worksheet will note this fact and prioritize the Lead and Healthy Home program participation, if the Participant is eligible for this program.

Lead remediation is completed by the Philadelphia Department of Public Health. Upon receiving a referral, PDPH intake staff check that the Applicant is eligible for the Lead and Healthy Homes program by determining whether the household includes children under six (6) and/or pregnant women. PDPH intake staff also verify that the applicant's household income is at or below 80% of the area median income. Per HUD guidelines, "Not less than 90% of the units assisted must be occupied by a child under age 6 – includes visiting child who spends significant amount of time" which is defined as at least three hours per day on two separate days in a week (six hours per week total), and at least 60 hours total per calendar year."

After PDPH intake staff determine the applicant is eligible to participate in the Lead and Healthy Homes Program, they check with the Historic Preservation Office to ascertain whether the property has potential historic value that may entail special requirements for lead remediation.

Once any potential historic preservation requirements are known, a Lead and Healthy Homes Program inspector visits the property to generate a scope of work and cost estimate. The inspector sends PDPH intake staff a detailed report, which the intake staff review with the Applicant. The Applicant then signs a written authorization of the scope of work and PDPH arranges for the locks to be changed on the property so occupants cannot re-enter while the lead remediation work is in progress. PDPH provides a stipend for the household to relocate for the duration of the work.

After the Applicant authorizes the scope of work, PDPH negotiates a start date with the Applicant. All work must be completed within ten (10) days of this start date unless HUD approves an extension. The BTL Pilot Project Supervisor will coordinate with PDPH to ensure all lead remediation is completed prior to commencement of BTL activities.

1. Conducting the Environmental Review and Draft Report

During the Property Assessment, the Home Assessor will account for mold, asbestos, pests, or any other environmental concerns such as basement oil tanks. If any items are noted on the report and eligible or required for remediation, they will take priority along with lead abatement needs prior to the start of other repairs or improvements.

Depending on the location, type and nature of the noted concerns, a follow-up environmental assessment such as an Asbestos Inspection Report (AIR) may be coordinated as an item at the end of the Property Assessment. Case Managers may follow-up with the Participant and the Project Supervisor to order and schedule the necessary follow-up assessment so that the verification of need, source of funding, quantity, and scope of remediation is determined and available to support the final Desk Review and ECR.

C. Conducting the Energy Audit and Draft Report

The energy audit will be performed by the Home Assessor or separately required auditor and included in the Desk Review and ECR. If/when the Participant agrees to the services, they will receive a copy of the energy audit report upon request and at signing of final Project Agreements. All recommended energy efficiency improvements that programs will grant will be included in the ECR.

D. Desk Review and Report Consolidation

The Home Assessor will upload the Property Assessment(s) into the CMS and complete the final Desk Review. The upload and completion of the report will include a notification requirement to inform the Case Manager if there are any follow-up assessments to be scheduled. Once the Desk Review is complete and the ECR is reviewed, the ECR results and recommendations will be confirmed with the relevant Team Member representatives.

During the Desk Review, the Home Assessor assigns a cost code to each line item in the Property Assessment Form to indicate which Team Member program should complete that work. This process is the basis for finalizing the ECR.

The Property Assessment Form includes a column that the Home Assessor may use to add notes on work items, such as standard materials or work methods to be used and any adjustments to unit pricing. The Home Assessor will also indicate on the Property Assessment Form work items to prioritize, such as completion of remediation concerns prior to start of other repairs or improvements.

The Desk Review should be conducted within three (3) working days of receiving all audits. The Home Assessor will consult with other Team Member Assessors about any missing information or follow-up questions, such as environmental abatement or structural repair concerns. A Pilot goal is that all new ECRs available at the time of the weekly Project Meeting will be discussed, amended, or approved by the appropriate Team Member program representatives.

E. Completion of the Estimated Cost to Repair

The Home Assessor generates the ECR through a Desk Review. The results of any special assessments will be re-incorporated into a revised ECR which identifies the Team Member program(s) best suited to provide the necessary funds for repair or abatement. In some instances, the final ECR may determine that the house is not suitable for property repair due to structural, environmental, or other construction challenges. In "not suitable for property repair" cases, Participants may be referred to nonprofit community development agencies or other organizations that can offer more comprehensive or alternative housing options.

It is important to note that the final ECR is not serving as a consolidated scope of repair that increases the overall scope of work for any one program. The final ECR serves as a coordination tool that will identify which independently available program sources are best suited to meet the various opportunities for repair or improvement needs within each property.

The final ECR will utilize the pricing based on the latest version of the BSRP unit price labor and materials guide or other program pricing available within the Property Assessment Form. The final ECR will be organized whereby scope of work line items assigned to each available and necessary program can be seen in a sorted report view that includes a subtotal of each program's activities and costs. During weekly Project Meetings, the work will be assigned to the available contractor(s) or subcontractor(s) supporting the Project Coordinator. A contingency budget line item may be used to provide for unanticipated **Change Orders** so that unit pricing and any Change Order approval needs may be expedited. The final proposed or amended ECR will be submitted to the Program Manager for review and approval.

For more information on the ECR, see Exhibit A and protocols developed for completion and quality control review of the ECR form.

F. Participant Approval and Contractor Coordination

When the Program Manager approves the ECR, the Project Coordinator will confirm availability of their subcontractor(s) and Team Member program contractor(s). This sequence helps to manage Participant expectations by ensuring a contractor is available to perform all scope items before presenting those scope items to the Participant.

After the Project Coordinator has confirmed contractor availability, the Home Assessor will review the full project scope of work for approval with the Participant. The Participant's decision to participate in one or all the proposed scopes is strictly voluntary and not all Project Agreements may be signed. However, in situations where one program must deliver services before another may serve the house, the Home Assessor will advise the Participant on the details and needs of project interdependencies and limitations. For example, a program that provides roof repair may be required before another program is able to provide interior improvements.

The Home Assessor will obtain consent from the Participant on which programs they are electing to participate in, and this information will be shared in the CMS so that each Team Member program can generate their respective Funding and/or Construction Agreements **(Project Agreements)**.

The Project Coordinator will coordinate any Team Member contractors as required. If the Project Supervisor can serve as the contractor for a Team Member program, this will be noted in the ECR cost coding.

VI. Agreements: Funding and Construction

The Home Assessment Form in Exhibit A will serve as the core document for information needed to generate each program's Project Agreements. Some programs may use a combined Funding and Construction agreement to be signed by the Project Supervisor and the Client or by the Team Member program contractor and the Client. Other Team Member programs may utilize a joint Project Agreement wherein the Project Supervisor signs with the Client and agrees to directly fund the Project Supervisor for their cost-coded items.

A. Drafting & Signing Project Agreements

After the Program Manager approves the final ECR and the Project Supervisor confirms contractor availability for the programs selected, any Team Member program that requires a separate Project Agreement will draft these agreements for final Client review and approval.

The Home Assessor or Project Coordinator will obtain these Agreements and present them to the Client for final review and sign-off. Team Members may also require that they attend the meeting with Clients to sign concurrently, but it is anticipated that the Home Assessor or Project Coordinator will first coordinate Client signature and then forward the copy to the Team Member for their signature and that a fully executed copy will be returned to the Client by mail either from the Team Member organization or the Home Assessor or Project Coordinator. In both cases, a fully executed copy will be shared by the Team Member for the Client file in the CMS.

The Home Assessor or Project Coordinator will prepare the Client in advance of receipt of the Project Agreements by reviewing the general terms and conditions, as well as the final scope and pricing, in the Agreements but will not provide any legal guidance. Should a Participant wish to review the Project Agreements with their family or legal counsel, they may do so. Home Assessor or Project Coordinator will seek to obtain signatures from all necessary **Owners of Record** at the time they are reviewed but will allow for up to fourteen (14) business days from the time a Project Agreement is provided to the time a fully executed copy must be returned by the Client. The Case Manager may also support the Home Assessor or Project Coordinator in obtaining Client signatures.

The receipt of all Project Agreements requested and authorized in a final ECR will indicate to the Project Supervisor that their construction agreement for the other Team Member programs is ready. (The BSRP agreement already exists with the Project Supervisor based on their assignment and prequalification process at PHDC.)

VII. Construction

Upon receipt of all necessary Project Agreements, the Program Manager will provide final confirmation to the Project Supervisor that they can coordinate start dates for construction work to begin based on the scope in the ECR and the scheduling with the Client.

A. Contractor Supporting Documents Review and Notice to Proceed

The Project Supervisor will work to finalize any of their subcontractor agreements and coordinate various City Licenses and Inspections (L&I) permits, proofs of insurance, and other pre-construction documentation required for a formal **Notice to Proceed**. A start date should be scheduled with the Client within one week of Program Manager authorization to coordinate construction start, with an anticipated average onsite construction commencement (following Notice to Proceed) of about one month. The Project Supervisor will report to the Case Manager and Program Manager any delays or challenges in reaching the Client for readiness and approval or delays incurred with subcontractor availability. The Case Manager may provide follow-up assistance or interim guidance to the Client as needed to support the Project Supervisor.

B. Progress Inspections

The Project Supervisor will keep all parties informed of when work is scheduled to begin and any other delays or challenges with starting work as planned. The Project Supervisor will keep regular weekly logs of the construction progress for each Client file in the CMS and report progress based on an estimated percentage of completion during the weekly Project Meetings.

Project Agreements will determine any procedures for Change Orders, which will be managed between the relevant Team Member and the Project Supervisor based on their program rules. If the Team Member does not have a written Change Order policy, the Project Supervisor will apply their own policy which must include at a minimum informing the Program Manager and the Client of the change. Because Change Orders are based on adjustments to methods and/or pricing of a particular scope of work item in the final ECR and are funded by the Team Member funding source as a grant rather than by the Client, Change Order approvals do not require the review and approval by the Client unless otherwise noted in the respective Project Agreements.

C. Payment Processing

It is currently anticipated that each program will either perform their own inspection or accept the Property Inspections as verification that what is invoiced is approved to be paid. It is also anticipated that each program's sub-scope will be paid upon completion but might allow for progress payments to satisfy individual subcontractor payment needs. The Project Supervisor will attend onsite Property Inspections to verify satisfactory completion according to the standards of the Team Member program funding each line item and the completion status will be made available to the Team Members in the CMS. For the Pilot, the Project Coordinator serves as the general contractor for the BSRP and will be responsible for the oversite and coordination of all other Team Member program contractors.

It is important to note that because each program uses its own team of inspectors who are trained to only look for items their programs will address, no one inspection team currently conducts the full range of inspections required by a more comprehensive repair program. This also means that each team of inspectors will need to learn to work with the Pilot program procedures while still maintaining their independence to conduct "standard" inspections for their single-program participants. The Pilot does not replace any program's inspection team roles. The Pilot will work towards a standard progress inspection report with photos that any one Team Member might generate for desk reviews by the respective programs.

The Project Supervisor's Finance Manager will generate invoices to each program based on the terms and conditions of their agreements with Team Members. Invoicing will be the responsibility of other independent Team Member program contractors if they are not subcontracted to the Project Coordinator.

The Project Supervisor will provide collected photos and video and/or progress inspection reports that identify work completed onsite to document progress and as proof for work completion and warranty. All receipts and subcontractor documentation requirements will be managed through the Project Supervisor as required by their Team Member program agreements. A final **Substantial Completion** walk-through signed by the Project Supervisor and Participant will be required. If the Participant does not or will not sign the Substantial Completion, the Team Member program representative may be allowed to review and approve the Substantial Completion determination or follow another process to certify completion, as may be required in the relevant Project Agreement.

Note that the ECR cost coding will allow for phases of work to be completed based on the nature of what each Team Member program agreed to fund, and the ECR can be the basis for generating a final invoice once Substantial Completion is approved.

D. Final Walk-through with Participant, Warranty and Participant Survey

The Project Supervisor will conduct a final walk-through of the completed work items once all ECR funded items are complete as indicated by all subcontractors and prior to final invoicing and closeout. This walk-through with the Participant to generate a Substantial Completion determination will be conducted at the discretion of the Project Supervisor. Any outstanding items identified with the Participant will be addressed prior to the Project Supervisor seeking final payment.

The Project Supervisor will also provide a binder of all contractor or product warranties and guarantees and concurrently provide the Participant with instruction and guidance on how to use or maintain any new systems. The Project Supervisor will seek to obtain a warranty walk-through certification from the Participant indicating their completion of this review of warranty items and complaint procedures.

VIII. Closeout and survey

A. Program Closeout Documentation

1. Record Retention

Record retention requirements will vary depending on funding source but in general, records must be complete, accurate, and orderly. To protect Personally Identifiable Information (PII), intake and application records will be housed in the system of the organization performing intake, which is not accessible to Team Members. A subset of intake records that do not contain sensitive PII will be housed in the Pilot Client Management System, which will be available to all Team Members. Records pertaining to property assessment, construction, and payment will be retained by the program that manages these functions. All Pilot Team Members will execute an agreement that provides for the sharing of records and data among Team Members as may be required in the event of an audit, monitoring visit, Freedom of Information Act request or other program need. A copy of these records will also be housed in the CMS where they will be centrally available to all Team Members. However, each Team Member will be responsible for managing records in a manner that complies with the record-keeping requirements of its funding source. Maintaining records in the CMS does not obligate PEA to comply with record retention requirements.

The following items, at a minimum, will be retained by PEA in the CMS:

- A full description of the activity, including the location and the amount of funds budgeted, obligated, and expended for each funding source;
- Demographics and number of beneficiaries;
- Property assessment/ECR;
- Construction contract or work authorization signed by the client;
- Invoices and payment records;
- Photographs and/or other evidence of satisfactory completion of work; and
- Warranty information.

2. Reporting

Reporting requirements will vary by funding source. Team Members may also report on program activity via their annual reports or other communications with board members and funders.

As previously noted, all Team Members will execute an agreement that provides for the inter-organizational sharing of records and data as may be needed to accurately report program impact. Pilot data tracking and reporting will not impact individual Team Member reporting activities. Further, the Pilot has been designed so that each Team Member activities and spending can be separately tracked to preempt any concerns about double-counting. For instance, in the case where multiple Team Member programs fund home repair or improvement measures that reduce energy use, each program will utilize their standard methodology to evaluate the impacts on energy use of only the measures installed through their program.

PEA will evaluate and report on aggregated outcomes of the Pilot including the impacts of all home interventions on Participant housing stability, energy use and cost, health, and their experience in participating in the Pilot. PEA will utilize survey and administrative data to perform its evaluation.

B. Program Evaluation

Case Managers will administer a survey to all Applicants during the intake process to identify selected factors affecting the household (e.g. health, utility cost burdens, etc.) prior to participating in the Pilot and receiving home repair and improvement services. Case Managers will also re-survey Clients as part of the closeout process and six (6) months after completion of the Pilot repairs and improvements.

Survey participation will be voluntary and all survey data will be kept confidential. Surveys may be conducted verbally over the phone, in person, and/or through Applicant/Client response to a written questionnaire when an Applicant/Client is not available for a verbal survey.

IX. Exhibits List

Exhibit A: Property Assessment Form

Exhibit B: Process Map