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Documentation Requirements Checklists

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DISCLAIMER: The information provided in this document is intended as guidance **ONLY** and does not relieve the Applicant of its responsibility to comply with Federal regulations and policies. Documentation checklist requirements may change over time. For additional information on documentation requirements for FEMA programs, check out the resources below or contact a GOHSEP representative (see contact page).

Public Assistance (PA)

To download State and FEMA forms, go to these websites:

State forms, visit LAPA Resources:
louisianapa.com/site/resources.cfm

FEMA forms, visit:
fema.gov/interactive-forms-library

For additional information on documentation requirements for the FEMA PA program: (Guidance is based on the declaration date of the disaster. Refer to the *9500 Series Policy Publications* and 44 CFR that corresponds with your declaration date.)

2 Code of Federal Regulations (CFR):
www.ecfr.gov/cgi-bin/text-idx?SID=b88be42f570bbb3fa992d90e718ee545&tpl=/ecfrbrowse/Title02/2tab_02.tpl

44 CFR:
gpo.gov/fdsys/browse/collectionCfr.action?collectionCode=CFR

Public Assistance Policy Digest - FEMA 321/January 2008:
fema.gov/pdf/government/grant/pa/pdigest08.pdf

Public Assistance Guide - FEMA 322/June 2007:
fema.gov/pdf/government/grant/pa/paguide07.pdf

Public Assistance Applicant Handbook - FEMA 323/March 2010:
fema.gov/pdf/government/grant/pa/fema323_app_handbk.pdf

Debris Management Guide - FEMA 325/July 2007:
fema.gov/pdf/government/grant/pa/demagde.pdf

Debris Monitoring Guide - FEMA 327/October 2010:
fema.gov/pdf/government/grant/pa/fema_327_debris_monitoring.pdf

9500 Series Policy Publications - FEMA (Disaster Assistance Policy [DAP] series):
fema.gov/site-page/9500-series-policy-publications

Hazard Mitigation (HM)

To download State and FEMA forms, go to these websites:

State forms, visit Mitigation Index:
gohsep.la.gov/mitigation.aspx

FEMA forms, visit:
fema.gov/library/viewRecord.do?id=4225

Download the *Hazard Mitigation Assistance (HMA) Unified Guidance*, Part X. Appendix C. Additional Resources

For additional information on documentation requirements for the FEMA HM program:

44 Code of Federal Regulations (CFR):
gpo.gov/fdsys/browse/collectionCfr.action?collectionCode=CFR

Hazard Mitigation Assistance (HMA) Unified Guidance - FEMA/June 2010:
fema.gov/library/viewRecord.do?id=4225

Mitigation eGrants System:
fema.gov/mitigation-egrants-system

Other HM Grant Applicant resources:
fema.gov/grant-applicant-resources

Acronyms

Documentation Requirements Checklists

Architect/engineer
 Categorical Exclusion
 Code of Federal Regulations
 Direct Administrative Cost
 Disaster Assistance Policy
 Duplication of Benefits
 Dun & Bradstreet
 Federal Acquisition Circular
 Force Account Equipment
 Force Account Labor
 Federal Emergency Management Agency
 General Ledger
 Governor's Office of Homeland Security and Emergency Preparedness
 Hydrology and hydraulic
 Hazard Mitigation
 Hazard Mitigation Assistance
 Hazard Mitigation Grant Program
 U.S. Department of Housing and Urban Development
 International Building Code
 Insurance Commissioner's Certification
 Letter of intent
 LouisianaPA.com
 Mutual Aid Agreement
 Memorandum of Understanding
 National Flood Insurance Program
 Obtain and Maintain
 Office of Management and Budget
 Public Assistance
 Project Management
 Private nonprofit
 Project Worksheet
 Request for Proposal
 Request for Qualifications
 Repetitive Loss
 Recovery Policy
 Request for Public Assistance
 Reimbursement Request Form
 Scope of work
 Severe Repetitive Loss
 Standard Form
 System for Award Management
 Special Flood Hazard Area
 Voluntary participation agreement

A/E
 CATEX
 CFR
 DAC
 DAP
 DOB
 D-U-N-S
 FAC
 FAE
 FAL
 FEMA
 GL
 GOHSEP
 H & H
 HM
 HMA
 HMGP
 HUD
 IBC
 ICC
 LOI
 LAPA
 MAA
 MOU
 NFIP
 O & M
 OMB
 PA
 PM
 PNP
 PW
 RFP
 RFQ
 RL
 RP
 RPA
 RRF
 SOW
 SRL
 SF
 SAM.gov
 SFHA
 VPA

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GOHSEP Disaster Recovery Division (DRD) Contacts

Documentation Requirements Checklists

Program Leadership

Kevin Davis
Director
kevin.davis@la.gov

Christina Dayries
Chief of Staff
Deputy Director
Grants and Administration Division
christina.dayries@la.gov

Mark Riley
Deputy Director
Disaster Recovery Division
mark.riley@la.gov

Mark DeBosier
State Coordinating Officer
Disaster Recovery Division
mark.debosier@la.gov

James Clark
Executive Officer
Operations
james.clark@la.gov

Lynne Browning
Assistant Deputy Director
Public Assistance
lynne.browning@la.gov

Casey Tingle
Assistant Deputy Director
Hazard Mitigation
casey.tingle@la.gov

Jeffrey Giering
State Hazard Mitigation Officer
Hazard Mitigation
jeffrey.giering@la.gov

Tenesha Wilson
Section Chief
Hazard Mitigation Grants
tenesha.wilson@la.gov

Christen Chiasson
Acting Section Chief
Public Assistance Grants
christen.chiasson@la.gov

Teresa Broussard
Compliance Manager
Sub Recipient Monitoring
teresa.broussard@la.gov

GOHSEP Disaster Recovery Division Legal Section

Ben Plaia, LEM, CEM
Legal Counsel
ben.plaia@la.gov

LaShaunte Henry-Martin, Esq.
Deputy Legal Counsel
lashaunte.martin@la.gov

Shontae Davis
Legal Assistant
shontae.davis@la.gov

Public Assistance (PA) Group Leads

Lisa Jones
lisa.jones@la.gov

Iris Porter
iris.porter@la.gov

Dianna Bennett
dianna.bennett@la.gov

Gail Rhines
gail.rhines@la.gov

**Hazard Mitigation (HM) State Applicant
Liasons (SALs)**

Kimberly Ryals
*Team Lead/Regions 1, 2, 3 and 5,
and State Agencies*
kimberly.ryals@la.gov

Leanne Guidry
Region 4
leanne.guidry@la.gov

Wendell Piper
Regions 6, 7 and 8
wendell.piper@la.gov

Byron Brooks
Region 9
byron.brooks@la.gov

Hazard Mitigation (HM) Group Leads

Tiffany Thomas
tiffany.thomas3@la.gov

Steve Garcia
steven.garcia@la.gov

Marion Pearson
marion.pearson@la.gov

Tonia Bergeron
tonia.bergeron@la.gov

Closeout Group Leads

Christina Knighten
Public Assistance
christina.knighten@la.gov

Christy Johnson
Hazard Mitigation
christy.d.johnson@la.gov

Insurance Program Specialist

Nathan Dronette
*Problem Resolution Officer
Public Assistance Technical Services*
nathan.dronette@la.gov

Public Assistance (PA)

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PUBLIC ASSISTANCE (PA)

PA Pre-event Documentation Checklist

★ is a Best Practice

NOTES:

- All documents must be legible and permanent.
- Off-site backup of records is a risk management Best Practice.
- Records must be maintained for **three (3) years** from the date of the final certification of completion of your last project associated with the specific disaster.
- Banks may not be required to keep their records for more than **four (4) years**. Check with your bank to determine its retention schedule.

FOR MORE INFORMATION CHECK THESE SOURCES

44 CFR §13.42(b)(1) and (c)(1)
and *Public Assistance Guide -
FEMA 322/June 2007*, page 138

GENERAL DOCUMENTATION REQUIREMENTS

★	Active Dun & Bradstreet (D-U-N-S) Number registered with System for Award Management (SAM.gov)	<i>Federal Contracts Perspective</i> , December 2012, <i>Federal Acquisition Circular (FAC) 2005-62</i> and <i>Request for Public Assistance (RPA) FEMA form 90-49</i> , August 2010
★	Insurance policy in force	44 CFR §206.250-253
★	<i>Insurance Commissioner's Certification (ICC)</i> (waiver, if applicable)	44 CFR §206.252(d) and §206.253(b)(1)
★	List of facilities	-
★	Maintenance records of public works systems	<i>Public Assistance Guide - FEMA 322/June 2007</i> , page 33

WORK PERFORMED BY FORCE ACCOUNT LABOR (FAL) (your employees)

44 CFR §206.221(b) and §206.228(a)(2)

★	<u>Pre-existing</u> straight time, overtime and personnel policies including job descriptions	<i>Public Assistance Guide - FEMA 322/June 2007</i> , pages 44-45 and RP 9525.7, VII(c)
★	A record-keeping process that logs employee time by eligible task and by Project Worksheet (PW)	<i>Public Assistance Guide - FEMA 322/June 2007</i> , page 137

WORK PERFORMED USING FORCE ACCOUNT MATERIALS (materials in your inventory) OR PURCHASED FOR THE DISASTER

Public Assistance Policy Digest - FEMA 321/January 2008, page 48

★	Materials and supplies inventory	<i>Public Assistance Policy Digest - FEMA 321/January 2008</i> , page 48
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PRE-EVENT CONTRACTS

44 CFR §13.36

★	Pre-event contracts (debris monitoring, debris management, sheltering, etc.)	<i>Post-Katrina Emergency Management Reform Act of 2006</i>
★	Pre-qualified contractor list	44 CFR §13.36(c)(4)

Request for Public Assistance (RPA)

Documentation Requirements Checklist

The Request for Public Assistance (RPA) is submitted by the Applicant to the Grantee (GOHSEP) as an official notification of the Applicant's intent to apply for FEMA Public Assistance (PA).

NOTES:

- All documents must be legible and permanent.
- Off-site backup of records is a risk management Best Practice.
- Records must be maintained for **three (3) years** from the date of the final certification of completion of your last project associated with the specific disaster.
- Banks may not be required to keep their records for more than **four (4) years**. Check with your bank to determine its retention schedule.

FOR MORE INFORMATION CHECK THESE SOURCES

44 CFR §13.42(b)(1) and (c)(1) and *Public Assistance Guide - FEMA 322/June 2007*, page 138

GENERAL DOCUMENTATION REQUIREMENTS

All Applicants:

<input type="checkbox"/>	Completed <i>Request for Public Assistance (RPA) FEMA form 90-49</i> (form required)	<i>Public Assistance Guide - FEMA 322/June 2007</i> , pages 92-93 and <i>Public Assistance Applicant Handbook - FEMA 323/March 2010</i> , page 9
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Private nonprofits (PNPs) require the following additional information:

<input type="checkbox"/>	<i>PNP Facility Questionnaire FEMA form 90-121</i> (form required)	FEMA form 90-121, February 2009
<input type="checkbox"/>	Federal tax exemption letter from IRS or proof of non-profit status from the Secretary of State (501[c] [d] or [e])	44 CFR §206.221(f) and <i>Public Assistance Guide - FEMA 322/June 2007</i> , page 11 and DAP 9521.3 VII(A)(i)
<input type="checkbox"/>	Evidence that the organization is in good standing with the Secretary of State	<i>Public Assistance Guide - FEMA 322/June 2007</i> , page 11 and GOHSEP requirement
<input type="checkbox"/>	School accreditation or certification (only if an educational institution)	FEMA requirement
<input type="checkbox"/>	Daycare license (only if a daycare)	GOHSEP requirement
<input type="checkbox"/>	Insurance policy in force at time of event	44 CFR §206.250-252(d)
<input type="checkbox"/>	Proof of legal responsibility for facility (e.g. lease, proof of ownership)	44 CFR §206.223(a)(3) and <i>Public Assistance Guide - FEMA 322/June 2007</i> , page 23

PA Project Formulation

Documentation Requirements Checklist

★ is a Best Practice. Be prepared to have this information at Closeout.

Project formulation is the process of documenting the damage to a facility, identifying eligible scope of work (SOW) and estimating costs associated with that SOW for each Applicant project.

NOTES:

- All documents must be legible and permanent.
- Off-site backup of records is a risk management Best Practice.
- Records must be maintained for **three (3) years** from the date of the final certification of completion of your last project associated with the specific disaster.
- Banks may not be required to keep their records for more than **four (4) years**. Check with your bank to determine its retention schedule.

FOR MORE INFORMATION CHECK THESE SOURCES

44 CFR §13.42(b)(1) and (c)(1) and *Public Assistance Guide - FEMA 322/June 2007*, page 138

GENERAL DOCUMENTATION REQUIREMENTS

<input type="checkbox"/>	List of damages	44 CFR 206.202(d)
<input type="checkbox"/>	Proof of legal responsibility for facility (e.g. lease, proof of ownership)	44 CFR §206.223 and <i>Public Assistance Guide - FEMA 322/June 2007</i> , page 23
<input type="checkbox"/>	Insurance policy in force at time of event	44 CFR §206.250-253
<input type="checkbox"/>	Insurance settlement documents (copy of settlement check and litigation documents, if any)	44 CFR §206.191 <i>Public Assistance Guide - FEMA 322/June 2007</i> , pages 41-42 and DAP 9525.3
<input type="checkbox"/>	<i>Insurance Commissioner's Certification (ICC)</i> (waiver, if applicable)	44 CFR §252(d) and §253(b)(1)
<input type="checkbox"/>	Maintenance records of public works systems	<i>Public Assistance Guide - FEMA 322/June 2007</i> , page 33
★	Post-disaster photos (damage to facilities and debris operations [e.g. leaners and hangers])	-

WORK PERFORMED BY FORCE ACCOUNT LABOR (FAL) (your employees)

		44 CFR §206.221(b) and §206.228(a)(2)
<input type="checkbox"/>	<i>Force Account Labor Record</i> FEMA form 90-123 or equivalent (FEMA form preferred)	FEMA form 90-123, October 2012
<input type="checkbox"/>	Pre-existing straight time, overtime and personnel policies including job descriptions	<i>Public Assistance Guide - FEMA 322/June 2007</i> , pages 44-45 and RP 9525.7, VII(c)
★	Timekeeping documentation (for all work other than Direct Administrative Cost [DAC]) that supports the <i>Force Account Labor Record</i> form	44 CFR §13.20(b)(6)
★	Timesheets that log employee time on eligible DAC tasks by Project Worksheet (PW)	DAP 9525.9
★	Payroll records and/or check register	44 CFR §13.20(b)(6)
★	Fringe benefit breakdown (<i>Applicant's Benefits Calculation Worksheet</i> FEMA form 90-128) (FEMA form preferred)	<i>Public Assistance Guide - FEMA 322/June 2007</i> , pages 45-47

WORK PERFORMED USING FORCE ACCOUNT EQUIPMENT (FAE) (your equipment)		44 CFR §206.221(b) and §206.228(a)(1)
<input type="checkbox"/>	Force Account Equipment Record FEMA form 90-127 or equivalent (FEMA form preferred)	FEMA form 90-127, October 2012 and 44 CFR §13.32
<input type="checkbox"/>	Proof of equipment ownership	44 CFR §13.20(b)(6) and §13.32
<input type="checkbox"/>	Proof of equipment usage	44 CFR §13.20(b)(6) and <i>Public Assistance Guide - FEMA 322/June 2007</i> , pages 48-49
WORK PERFORMED USING FORCE ACCOUNT MATERIALS (materials in your inventory) OR PURCHASED FOR THE DISASTER		<i>Public Assistance Guide - FEMA 322/June 2007</i> , page 48
<input type="checkbox"/>	Force Account Materials Summary Record FEMA form 90-124 or equivalent (FEMA form preferred)	FEMA form 90-124, October 2012
<input type="checkbox"/>	Pre- and post-inventory to show value and quantity and evidence of proper procurement (when purchasing new materials)	44 CFR §13.36 and <i>Public Assistance Policy Digest - FEMA 321/January 2008</i> , page 84
RENTED EQUIPMENT		<i>Public Assistance Policy Digest - FEMA 321/January 2008</i> , page 49
<input type="checkbox"/>	Rented Equipment Record FEMA form 90-125 or equivalent (FEMA form preferred)	FEMA form 90-125, October 2012
<input type="checkbox"/>	Rental agreement, invoices/receipts and evidence of proper procurement (see Procurement section below)	44 CFR §13.20(b)(6) and §13.36(c)
WORK PERFORMED BY CONTRACTORS		44 CFR §13.36
<input type="checkbox"/>	Contract Summary Record FEMA form 90-126 or equivalent (FEMA form preferred)	FEMA form 90-126, October 2012
<input type="checkbox"/>	Executed contract with all applicable amendments and change orders (if available)	44 CFR §13.20(b)(6) and §13.30
★	Invoices/certified pay applications/receipts (if available)	44 CFR §13.20(b)(6)
★	Contractor time sheets (for DAC reimbursement) that log employee time by eligible DAC tasks by Project Worksheet (PW)	DAP 9525.9
DEBRIS OPERATIONS		<i>Debris Management Guide - FEMA 325/July 2007</i> and <i>Debris Monitoring Guide - FEMA 327/October 2010</i>
<input type="checkbox"/>	Disposal permits	<i>Louisiana Environmental Regulatory Code 301 B</i>
<input type="checkbox"/>	Truck certification (if available)	<i>Debris Monitoring Guide - FEMA 327/October 2010</i> , pages 19-20
<input type="checkbox"/>	Load tickets (if available)	<i>Debris Monitoring Guide - FEMA 327/October 2010</i> , page 19
PROCUREMENT REQUIREMENTS - Evidence of proper procurement		44 CFR §13.36
<input type="checkbox"/>	Competitive process (Quote/Request for Proposal [RFP]/Request for Qualifications [RFQ])	44 CFR §13.36(d)(2)(3)
<input type="checkbox"/>	Advertisement (publicize)	44 CFR §13.36(d)(3)(i)
<input type="checkbox"/>	Responses to RFP/RFQ	44 CFR §13.36(d)(3)(i) and RP 9580.212

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PA Grant Reimbursement Documentation Requirements Checklist

★ is a Best Practice. Not required at grant reimbursement; must have this documentation in your project files.
Documentation is required for Closeout and Audits.

NOTES:

- All documents must be legible and permanent.
- Off-site backup of records is a risk management Best Practice.
- Records must be maintained for **three (3) years** from the date of the final certification of completion of your last project associated with the specific disaster.
- Banks may not be required to keep their records for more than **four (4) years**. Check with your bank to determine its retention schedule.

FOR MORE INFORMATION CHECK THESE SOURCES

44 CFR §13.42(b)(1) and (c)(1)
and *Public Assistance Guide -
FEMA 322/June 2007, page 138*

GENERAL DOCUMENTATION REQUIREMENTS

<input type="checkbox"/>	GOHSEP/Subgrantee Memorandum of Understanding (MOU) (optional for Katrina/Rita Applicants; required for all others)	2013 State of Louisiana Administrative Plan for Public Assistance(V)(B)(3)(b)
<input type="checkbox"/>	Reimbursement Request Form (RRF) for Public Assistance (PA) Funds required to initiate a request to GOHSEP for payment	2013 State of Louisiana Administrative Plan for Public Assistance(V)(E)(1)
<input type="checkbox"/>	Time extension approval letters (if any)	44 CFR §206.204(d)
<input type="checkbox"/>	Evidence of proper procurement (see Procurement section below)	44 CFR §13.36
★	Proof of payment (cancelled checks – banks may not be required to keep records for more than four [4] years)	44 CFR §13.20(b)(6)
★	Insurance statement of loss (if available)	Public Assistance Policy Digest - FEMA 321/January 2008, page 38 and Public Assistance Guide - FEMA 322/June 2007, page 41

WORK PERFORMED BY FORCE ACCOUNT LABOR (FAL) (your employees)

		44 CFR §206.221(b) and §206.228(a)(2)
<input type="checkbox"/>	Force Account Labor Record FEMA form 90-123 or equivalent (FEMA form preferred)	FEMA form 90-123, October 2012
<input type="checkbox"/>	Fringe benefit breakdown (Applicant's Benefits Calculation Worksheet FEMA form 90-128) (FEMA form preferred)	Public Assistance Guide - FEMA 322/June 2007, pages 45-47
<input type="checkbox"/>	Pre-existing straight time, overtime and personnel policies including job descriptions	Public Assistance Guide - FEMA 322/June 2007, pages 44-45 and RP 9525.7, VII(c)
<input type="checkbox"/>	Timesheets that log employee time on eligible Direct Administrative Cost (DAC) tasks by Project Worksheet (PW)	DAP 9525.9
★	Timekeeping documentation (for all work other than DAC) that supports the Force Account Labor Record form	44 CFR §13.20(b)(6)
★	Payroll records and/or check register	44 CFR §13.20(b)(6)

WORK PERFORMED USING FORCE ACCOUNT EQUIPMENT (FAE) (<i>your equipment</i>)		44 CFR §206.228(a)(1)
<input type="checkbox"/>	Force Account Equipment Record FEMA form 90-127 or equivalent (<i>FEMA form preferred</i>)	FEMA form 90-127, October 2012 and 44 CFR §13.32
<input type="checkbox"/>	Proof of equipment usage	44 CFR §13.20(b)(6) and <i>Public Assistance Guide - FEMA 322/June 2007, page 48</i>
★	Proof of equipment ownership	44 CFR §13.20(b)(6) and §13.32
WORK PERFORMED USING FORCE ACCOUNT MATERIALS (<i>materials in your inventory</i>) OR PURCHASED FOR THE DISASTER		<i>Public Assistance Guide - FEMA 322/June 2007, page 48</i>
<input type="checkbox"/>	Force Account Materials Summary Record FEMA form 90-124 or equivalent (<i>FEMA form preferred</i>)	FEMA form 90-124, October 2012
<input type="checkbox"/>	Invoices/receipts for restocking inventory and evidence of proper procurement	44 CFR §13.20(b)(6) and §13.36
<input type="checkbox"/>	Sign-in sheets for meals	44 CFR §13.20(c)(6)
<input type="checkbox"/>	Materials and supplies inventory record	<i>Public Assistance Guide - FEMA 322/June 2007, page 48</i>
RENTED EQUIPMENT		<i>Public Assistance Policy Digest - FEMA 321/January 2008, page 49</i>
<input type="checkbox"/>	Rented Equipment Record FEMA form 90-125 or equivalent (<i>FEMA form preferred</i>)	FEMA form 90-125, October 2012
<input type="checkbox"/>	Rental agreement, invoices/receipts and evidence of proper procurement (see Procurement section below)	44 CFR §13.20(b)(6) and §13.36
WORK PERFORMED BY CONTRACTORS		44 CFR §13.36
<input type="checkbox"/>	Contract Summary Record FEMA form 90-126 or equivalent (<i>FEMA form preferred</i>)	FEMA form 90-126, October 2012
<input type="checkbox"/>	Invoices/certified pay applications/receipts and evidence of proper procurement (if available)	44 CFR §13.20(b)(6)
<input type="checkbox"/>	Executed contract with all applicable amendments and change orders	44 CFR §13.20(b)(6) and §13.30
<input type="checkbox"/>	Contractor time sheets (<i>for DAC reimbursement</i>) that log employee time by eligible DAC tasks by Project Worksheet (PW)	DAP 9525.9
★	Contractor and subcontractor timesheets and materials invoices for time and material contracts and Mutual Aid Agreements (MAAs)/MOUs	44 CFR §13.20(b)(6)
★	Load tickets and truck certifications (required for debris contracts)	44 CFR §13.20(b)(6) and <i>Debris Management Guide - FEMA 325/July 2007, page 109</i>
PROCUREMENT REQUIREMENTS - Evidence of proper procurement		44 CFR §13.36
<input type="checkbox"/>	Competitive process (Quote/Request for Proposal [RFP]/Request for Qualifications [RFQ])	44 CFR §13.36(d)(2)(3)
<input type="checkbox"/>	Advertisement (publicize)	44 CFR §13.36(d)(3)(i)
<input type="checkbox"/>	Responses to RFP/RFQ	44 CFR §13.36(d)(3)(i) and Recovery Policy (RP) 9580.212
<input type="checkbox"/>	Selection process (scoring sheets, bid tabulations, etc.)	44 CFR §13.36(d)(3)(iii)

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PA Closeout

Documentation Requirements Checklist

★ is a Best Practice

Be sure your file is complete at Closeout. A complete file includes the following:

NOTES:

- All documents must be legible and permanent.
- Off-site backup of records is a risk management Best Practice.
- Records must be maintained for **three (3) years** from the date of the final certification of completion of your last project associated with the specific disaster.
- Banks may not be required to keep their records for more than **four (4) years**. Check with your bank to determine its retention schedule.

FOR MORE INFORMATION CHECK THESE SOURCES

44 CFR §13.42(b)(1) and (c)(1) and *Public Assistance Guide - FEMA 322/June 2007*, page 138

GENERAL DOCUMENTATION REQUIREMENTS

<input type="checkbox"/>	Insurance policy in force at time of event	44 CFR §206.250-253
<input type="checkbox"/>	Insurance settlement documents (copy of settlement check and litigation documents, if any)	44 CFR §206.191 <i>Public Assistance Guide - FEMA 322/June 2007</i> , pages 41-42 and DAP 9525.3
<input type="checkbox"/>	Insurance policy in force at time of Closeout (to meet obtain and maintain [O & M] requirements)	44 CFR §252(d) and §253(b)(1)
<input type="checkbox"/>	<i>Insurance Commissioner's Certification (ICC)</i> (waiver, if applicable)	44 CFR §252(d) and §253(b)(1)
<input type="checkbox"/>	Closeout certification forms for large and small projects	GOHSEP forms
<input type="checkbox"/>	Evidence of proper procurement (see Procurement section below)	44 CFR §13.36
<input type="checkbox"/>	Sign-in sheets for meals	44 CFR §13.20(c)(6)
<input type="checkbox"/>	Proof of payment (cancelled checks – banks may not be required to keep records for more than four [4] years)	44 CFR §13.20(b)(6)
<input type="checkbox"/>	Reimbursement Request Form (RRF) required for any cost overruns captured in Closeout version (see <i>Grant Reimbursement Documentation Requirements Checklist</i>)	GOHSEP form

WORK PERFORMED BY FORCE ACCOUNT LABOR (FAL) (your employees)

		44 CFR §206.221(b) and §206.228(a)(2)
<input type="checkbox"/>	Force Account Labor Record FEMA form 90-123 or equivalent (FEMA form preferred)	FEMA form 90-123, October 2012
<input type="checkbox"/>	Fringe benefit breakdown (<i>Applicant's Benefits Calculation Worksheet</i> FEMA form 90-128) (FEMA form preferred)	<i>Public Assistance Guide - FEMA 322/June 2007</i> , pages 45-47
<input type="checkbox"/>	Pre-existing straight time, overtime and personnel policies including job descriptions	<i>Public Assistance Guide - FEMA 322/June 2007</i> , pages 44-45 and RP 9525.7, VII(c)
<input type="checkbox"/>	Timekeeping documentation (for all work other than Direct Administrative Cost [DAC]) that supports the <i>Force Account Labor Record</i> form	44 CFR §13.20(b)(6)
<input type="checkbox"/>	Timesheets that log employee time on eligible DAC tasks by Project Worksheet (PW)	DAP 9525.9
<input type="checkbox"/>	Payroll records and/or check register	44 CFR §13.20(b)(6)

WORK PERFORMED USING FORCE ACCOUNT EQUIPMENT (FAE) (<i>your equipment</i>)		44 CFR §206.228(a)(1)
<input type="checkbox"/>	Force Account Equipment Record FEMA form 90-127 or equivalent (FEMA form preferred)	FEMA form 90-127, October 2012 and 44 CFR §13.32
<input type="checkbox"/>	Proof of equipment usage	44 CFR §13.20(b)(6) and <i>Public Assistance Policy Digest - FEMA 321/January 2008, page 49</i>
★	Proof of equipment ownership	44 CFR §13.20(b)(6) and §13.32
WORK PERFORMED USING FORCE ACCOUNT MATERIALS (<i>materials in your inventory</i>) OR PURCHASED FOR THE DISASTER		<i>Public Assistance Guide - FEMA 322/June 2007, page 48</i>
<input type="checkbox"/>	Force Account Materials Summary Record FEMA form 90-124 or equivalent (FEMA form preferred)	FEMA form 90-124, October 2012
<input type="checkbox"/>	Invoices/receipts for restocking inventory and evidence of proper procurement	44 CFR §13.20(b)(6) and §13.36
RENTED EQUIPMENT		<i>Public Assistance Policy Digest - FEMA 321/January 2008, page 49</i>
<input type="checkbox"/>	Rented Equipment Record FEMA form 90-125 or equivalent (FEMA form preferred)	FEMA form 90-125, October 2012
<input type="checkbox"/>	Rental agreement, invoices/receipts and evidence of proper procurement (see Procurement section below)	44 CFR §13.20(b)(6) and §13.36
WORK PERFORMED BY CONTRACTORS		44 CFR §13.36
<input type="checkbox"/>	Contract Summary Record FEMA form 90-126 or equivalent (FEMA form preferred)	FEMA form 90-126, October 2012
<input type="checkbox"/>	Invoices/certified pay applications/receipts (if available)	44 CFR §13.20(b)(6)
<input type="checkbox"/>	Executed contract with all applicable amendments and change orders	44 CFR §13.20(b)(6) and §13.30
<input type="checkbox"/>	Contractor time sheets (<i>for DAC reimbursement</i>) that log employee time by eligible DAC tasks by Project Worksheet (PW)	DAP 9525.9
<input type="checkbox"/>	Contractor and subcontractor timesheets and materials invoices for time and material contracts and Mutual Aid Agreements (MAAs)/Memorandum of Understandings (MOUs)	44 CFR §13.20(b)(6)
<input type="checkbox"/>	Load tickets and truck certifications (required for debris contracts)	44 CFR §13.20(b)(6) and <i>Debris Management Guide - FEMA 325/July 2007, page 109</i>
PROCUREMENT REQUIREMENTS - Evidence of proper procurement		44 CFR §13.36
<input type="checkbox"/>	Competitive process (Quote/Request for Proposal [RFP]/Request for Qualifications [RFQ])	44 CFR §13.36(d)(2)(3)
<input type="checkbox"/>	Advertisement (publicize)	44 CFR §13.36(d)(3)(i)
<input type="checkbox"/>	Responses to RFP/RFQ	44 CFR §13.36(d)(3)(i) and RP 9580.212
<input type="checkbox"/>	Selection process (scoring sheets, bid tabulations, etc.)	44 CFR §13.36(d)(3)(iii)
<input type="checkbox"/>	Cost analysis (when required)	44 CFR §13.36(f)(1)
<input type="checkbox"/>	State Contract (when used, include unit price and other relevant detail)	GOHSEP requirement

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Hazard Mitigation (HM)

Documentation Requirements Checklists

Pre-event

Hazard Mitigation Assistance (HMA)
Application Development

Grant Reimbursement

Closeout

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Hazard Mitigation Assistance (HMA) Application Development Documentation Requirements Checklist

★ is a Best Practice

Hazard Mitigation Assistance (HMA) includes the Hazard Mitigation Grant Program (HMGP) that provides HM grants post-disaster, and non-disaster grants available on an annual grant cycle (contingent upon available funding).

NOTES:

- All documents must be legible and permanent.
- Off-site backup of records is a risk management Best Practice.
- Records must be maintained for **three (3) years** from the date of the final certification of completion of your last project associated with the specific disaster.
- Banks may not be required to keep their records for more than **four (4) years**. Check with your bank to determine its retention schedule.

FOR MORE INFORMATION CHECK THESE SOURCES

44 CFR §13.42(b)(1) and (c)(1) and *Public Assistance Guide - FEMA 322/June 2007*, page 138

GENERAL DOCUMENTATION REQUIREMENTS

Non-disaster Hazard Mitigation Assistance (HMA) application

<input type="checkbox"/>	To apply for non-disaster HMA, Applicants must use the FEMA web-based eGrants system	<i>HMA Unified Guidance - June 2010 - Part IV, B, page 24 and IS-32: Mitigation eGrants Internal System</i>
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Hazard Mitigation Grant Program (HMGP) application

<input type="checkbox"/>	Letter of intent (LOI) to participate in the program	GOHSEP requirement
<input type="checkbox"/>	HMGP: <i>GOHSEP Hazard Mitigation Grant Program (HMGP) Project Application (form required)</i>	44 CFR §206.436(c)
<input type="checkbox"/>	<ul style="list-style-type: none"> • <i>Application for Federal Assistance Office of Management and Budget (OMB) form SF-424 (form required)</i> 	FEMA form SF-424 and 44 CFR §206.436(c) and Office of Management and Budget (OMB) Circular A-47
<input type="checkbox"/>	<ul style="list-style-type: none"> • <i>Assurances for Construction Programs Office of Management and Budget (OMB) form SF-424 D (form required)</i> 	44 CFR §206.436(c) and Office of Management and Budget (OMB) Circular A-47
<input type="checkbox"/>	<ul style="list-style-type: none"> • Funds commitment letter (assurance that you can meet the match) 	State requirement
<input type="checkbox"/>	<ul style="list-style-type: none"> • Consultation letters of no objection (letters sent to other Federal agencies to ensure no impact) 	<i>HMA Unified Guidance - June 2010 - Part IV, H.6, page 36</i>
<input type="checkbox"/>	<ul style="list-style-type: none"> • Duplication of benefits (DOB) disclosure 	<i>HMA Unified Guidance - June 2010 - Part III, C.4, page 11</i>
<input type="checkbox"/>	<ul style="list-style-type: none"> • Itemized and detailed budget (include Project Management as a line item) 	<i>HMA Unified Guidance - June 2010 - Part IV, H.3, page 32</i>
<input type="checkbox"/>	<ul style="list-style-type: none"> • Voluntary participation agreement (VPA) (for projects that involve private property only) 	GOHSEP requirement for acquisition, elevation and drainage
<input type="checkbox"/>	<ul style="list-style-type: none"> • Project location photos – (photos before any project activity begins) Photos must show all four (4) sides of the structure to include all stairs, landings, decks, patios, carports, garages, driveways, A/C units, gas lines/meters, electrical lines, piping, etc. Roof must be shown if necessary for wind retrofit (original HMGP application) 	<i>HMA Unified Guidance - June 2010 - Part IV, H.1.1, page 29</i>

HM Grant Reimbursement Documentation Requirements Checklist

★ is a Best Practice

NOTES:

- All documents must be legible and permanent.
- Off-site backup of records is a risk management Best Practice.
- Records must be maintained for **three (3) years** from the date of the final certification of completion of your last project associated with the specific disaster.
- Banks may not be required to keep their records for more than **four (4) years**. Check with your bank to determine its retention schedule.

FOR MORE INFORMATION CHECK THESE SOURCES

44 CFR §13.42(b)(1) and (c)(1)
and *Public Assistance Guide -
FEMA 322/June 2007, page 138*

GENERAL DOCUMENTATION REQUIREMENTS

<input type="checkbox"/>	Invoices	44 CFR §13.20(b)(6)
<input type="checkbox"/>	Proof of payment (cancelled checks – banks may not be required to keep records for more than four [4] years)	44 CFR §13.20(b)(6)
<input type="checkbox"/>	Proof of subgrantee match (e.g. invoices, receipts, volunteer timesheets, proof of labor rates, etc. that are charges related to the project)	44 CFR §13.24
<input type="checkbox"/>	Duplication of benefits (DOB) disclosure	<i>HMA Unified Guidance - June 2010 - Part III, C.4, page 11</i>
<input type="checkbox"/>	Itemized and detailed budget (include Project Management [PM] as a line item)	<i>HMA Unified Guidance - June 2010 - Part IV, H.3, page 32</i>
<input type="checkbox"/>	Evidence of proper procurement (see Procurement section below)	44 CFR §13.36
<input type="checkbox"/>	Voluntary participation agreement (VPA) (for projects that involve private property only)	GOHSEP requirement for acquisition, elevation and drainage
<input type="checkbox"/>	Construction photos – 100% (completion photos are needed at final payment) Photos must show all four (4) sides of the structure to include all stairs, landings, decks, patios, carports, garages, driveways, A/C units, gas lines/meters, electrical lines, piping, etc. Roof must be shown if necessary for wind retrofit (original HMGP application)	<i>HMA Unified Guidance - June 2010 - Part IV, H.1.1, page 29</i>
<input type="checkbox"/>	Request for Advance or Reimbursement Office of Management and Budget (OMB) form SF-270	GOHSEP requirement
★	Construction photos (in progress photos of the activity)	<i>HMA Unified Guidance - June 2010 - Part IV, H.1.1, page 29</i>

WORK PERFORMED BY CONTRACTORS

<input type="checkbox"/>	Executed contract with all applicable amendments and change orders	44 CFR §13.36
<input type="checkbox"/>	Invoices and supporting documentation	44 CFR §13.20(b)(6) and §13.30
<input type="checkbox"/>		44 CFR §13.20(b)(6)

PROCUREMENT REQUIREMENTS - Evidence of proper procurement

<input type="checkbox"/>	Competitive process (Quote/Request for Proposal [RFP]/Request for Qualifications [RFQ])	44 CFR §13.36
<input type="checkbox"/>	• Proposals (with price for PM and construction)	44 CFR §13.36(c) and (d)(3)
<input type="checkbox"/>		44 CFR §13.36(b)(9)

HAZARD MITIGATION (HM): GRANT REIMBURSEMENT

<input type="checkbox"/>	Advertisement (publicize)	44 CFR §13.36(d)(3)(i)
<input type="checkbox"/>	Responses to RFP/RFQ	44 CFR §13.36(d)(3)(i) and RP 9580.212
<input type="checkbox"/>	<ul style="list-style-type: none"> • Cost analysis must be provided with architect/engineer (A/E) RFQ 	44 CFR §13.36(b)(9)
<input type="checkbox"/>	Selection process (scoring sheets, bid tabulations, etc.)	44 CFR §13.36(d)(3)(iii)
<input type="checkbox"/>	Cost analysis (when required)	44 CFR §13.36(f)(1)
<ul style="list-style-type: none"> • Local governments and quasi-governmental agencies – such as port authorities, levee boards, etc. – must follow 44 CFR §13.36 and the cost principles articulated in 2 CFR §225. • Private nonprofits (PNPs) are required to follow: <ul style="list-style-type: none"> • 44 CFR §13.36 in addition to the <i>Uniform Administrative Requirements</i> for grants and Agreements as per 2 CFR §215. • Cost principles articulated in 2 CFR §230. • Educational institutions are required to follow 44 CFR §13.36 and 2 CFR §220. 		
ADDITIONAL DOCUMENTATION REQUIREMENTS FOR ACQUISITION		44 CFR §80 and <i>HMA Unified Guidance</i> - June 2010 - Part IX, pages 74-97
<input type="checkbox"/>	<i>NFIP Repetitive Loss Update Worksheet</i> FEMA form AW-501 (for all Repetitive Loss [RL] and Severe Repetitive Loss [SRL] properties included in the project) (form required)	<i>HMA Unified Guidance</i> - June 2010 - Part VI, D.2.1, page 47
<input type="checkbox"/>	Appraisal	<i>HMA Unified Guidance</i> - June 2010 - Part IX, A.11.1-2, page 86
<input type="checkbox"/>	U.S. Department of Housing and Urban Development (HUD) statement and closing documents	44 CFR §80.17(b)
<input type="checkbox"/>	Proof that demolition was completed within 90 days of the property close date	44 CFR §80.17(d)
<input type="checkbox"/>	Recorded deed restriction	44 CFR §80.21
<input type="checkbox"/>	Displacement documentation (tenant has to move during a project temporarily) (if applicable)	<i>HMA Unified Guidance</i> - June 2010 - Part IX, A.12, page 89 and 44 CFR §80.17(c)(5)
ADDITIONAL DOCUMENTATION REQUIREMENTS FOR ELEVATION + RECONSTRUCTION		
<input type="checkbox"/>	<i>NFIP Repetitive Loss Update Worksheet</i> FEMA form AW-501 (for all Repetitive Loss [RL] and Severe Repetitive Loss [SRL] properties included in the project) (form required)	<i>HMA Unified Guidance</i> - June 2010 - Part VI, D.2.1, page 47
<input type="checkbox"/>	Initial elevation certificate	<i>NFIP Elevation Certificate</i> - FEMA form 81-31, March 2009 and <i>HMA Unified Guidance</i> - June 2010 - Part IX, E.4, page 143
<input type="checkbox"/>	Final elevation certificate (proof that the structure was elevated to the height stated in the original scope of work) (required for final payment)	<i>NFIP Elevation Certificate</i> - FEMA form 81-31, March 2009 and <i>HMA Unified Guidance</i> - June 2010 - Part IX, E.6, page 144
<input type="checkbox"/>	Displacement documentation (tenant has to move during a project temporarily) (if applicable)	<i>HMA Unified Guidance</i> - June 2010 - Part IX, E.3.1, page 141
<input type="checkbox"/>	Termite contract (if applicable)	GOHSEP requirement
<input type="checkbox"/>	Certificate of occupancy (required for final payment)	<i>HMA Unified Guidance</i> - June 2010 - Part IX, E.6, page 144
<input type="checkbox"/>	Verification of flood insurance (declaration page required for Project Formulation, non-disaster grants and a Best Practice for Project Formulation for disaster grants) (required for final payment)	<i>HMA Unified Guidance</i> - June 2010 - Part IX, E.6, page 145
<input type="checkbox"/>	Certification/drawing/plan from a building official or licensed design professional (verifying the structure was designed and constructed to the minimum standard of the 2006 International Building Code [IBC])	<i>HMA Unified Guidance</i> - June 2010 - Part IX, D.9, page 138

ADDITIONAL DOCUMENTATION REQUIREMENTS FOR DRAINAGE (projects can be phased to develop design, engineering, environmental or feasibility studies)		
<input type="checkbox"/>	Stamped/signed plans/drawings	<i>HMA Unified Guidance - June 2010 - Part IV, H.5, page 35</i>
<input type="checkbox"/>	Hydrology and hydraulic (H&H) study	<i>HMA Unified Guidance - June 2010 - Part III, D.4, page 18 and Part VIII, A.9, page 55</i>
<input type="checkbox"/>	<ul style="list-style-type: none"> Engineers certification (<i>Code of Compliance</i>) 	<i>HMA Unified Guidance - June 2010 - Part III, D.4, page 18</i>
ADDITIONAL DOCUMENTATION REQUIREMENTS FOR WIND RETROFIT		
<input type="checkbox"/>	Stamped/signed plans/drawings	<i>HMA Unified Guidance - June 2010 - Part IV, H.5, page 35</i>
ADDITIONAL DOCUMENTATION REQUIREMENTS FOR SAFE ROOMS		<i>Taking Shelter From the Storm: Building a Safe Room For Your Home or Small Business - Third Edition - FEMA 320/August 2008 and Design and Construction Guidance for Community Safe Rooms - Second Edition - FEMA 361/August 2008</i>
<input type="checkbox"/>	Certified building plan	<i>HMA Unified Guidance - June 2010 - Part IX, C.3, page 104</i>
<input type="checkbox"/>	Final operation and maintenance plan	<i>HMA Unified Guidance - June 2010 - Part IX, C.4.3.3, page 123</i>

Notes

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HM Closeout

Documentation Requirements Checklist

★ is a Best Practice

Be sure your file is complete at Closeout. A complete file includes the following:

NOTES:

- All documents must be legible and permanent.
- Off-site backup of records is a risk management Best Practice.
- Records must be maintained for **three (3) years** from the date of the final certification of completion of your last project associated with the specific disaster.
- Banks may not be required to keep their records for more than **four (4) years**. Check with your bank to determine its retention schedule.

FOR MORE INFORMATION CHECK THESE SOURCES

44 CFR §13.42(b)(1) and (c)(1) and *Public Assistance Guide - FEMA 322/June 2007*, page 138

GENERAL DOCUMENTATION REQUIREMENTS

Non-disaster Hazard Mitigation Assistance (HMA)



Non-disaster HMA: eGrants (form required)

HMA Unified Guidance - June 2010 - Part IV, B, page 24 and IS-32: Mitigation eGrants Internal System

Hazard Mitigation Grant Program (HMGP) application



HMGP: *GOHSEP Hazard Mitigation Grant Program (HMGP) Project Application* (form required)

44 CFR §206.436(c)



- *Application for Federal Assistance* FEMA form SF-424 (form required)

44 CFR §206.436(c) and Office of Management and Budget (OMB) Circular A-47



- *Assurances for Construction Programs* FEMA form SF-424 D (form required)

44 CFR §206.436(c) and Office of Management and Budget (OMB) Circular A-47



- Funds commitment letter (assurance that you can meet the match)

State requirement



- Consultation letters of no objection (letters sent to other Federal agencies to ensure no impact)

HMA Unified Guidance - June 2010 - Part IV, H.6, page 36



Approval letter from FEMA

44 CFR §206.436(f)



- Documentation of original performance period as well as any project extensions

44 CFR §206.436(e)



Award notification letter from GOHSEP to subgrantee

HMA Unified Guidance - June 2010 - Part VI, A, page 40



GOHSEP/Applicant subgrantee agreement

HMA Unified Guidance - June 2010 - Part VI, A, page 40



Request for Advance or Reimbursement Office of Management and Budget (OMB) form SF-270

GOHSEP requirement



Invoices

44 CFR §13.20(b)(6)



Proof of payment (cancelled checks – banks may not be required to keep records for more than four [4] years)

44 CFR §13.20(b)(6)



Applicant project Closeout checklist

HMA Unified Guidance - June 2010 - Part VI, D.1, page 45

<input type="checkbox"/>	Proof of subgrantee match (e.g. invoices, receipts, volunteer timesheets, proof of labor rates, etc. that are charges related to the project)	44 CFR §13.24
<input type="checkbox"/>	Documentation of scope changes	HMA Unified Guidance - June 2010 - Part VI, B.2, page 40
<input type="checkbox"/>	Environmental and historical reviews	HMA Unified Guidance - June 2010 - Part V, A.4, page 37
<input type="checkbox"/>	Duplication of benefits (DOB) disclosure	HMA Unified Guidance - June 2010 - Part III, C.4, page 11
<input type="checkbox"/>	Itemized and detailed budget (include Project Management [PM] as a line item)	HMA Unified Guidance - June 2010 - Part IV, H.3, page 32
<input type="checkbox"/>	Evidence of proper procurement (see Procurement section below)	44 CFR §13.36
<input type="checkbox"/>	Voluntary participation agreement (VPA) (for projects that involve private property only)	GOHSEP requirement for acquisition, elevation and drainage
<input type="checkbox"/>	Construction photos – (before and after photos) Photos must show all four (4) sides of the structure to include all stairs, landings, decks, patios, carports, garages, driveways, A/C units, gas lines/ meters, electrical lines, piping, etc. Roof must be shown if necessary for wind retrofit (original HMGP application)	HMA Unified Guidance - June 2010 - Part IV, H.1.1, page 29
<input type="checkbox"/>	Project Completion Certificate	GOHSEP requirement
<input type="checkbox"/>	Final Quarterly Report	44 CFR §13.40 and HMA Unified Guidance - June 2010 - Part VI, C.1, page 44
WORK PERFORMED BY CONTRACTORS		44 CFR §13.36
<input type="checkbox"/>	Executed contract with all applicable amendments and change orders	44 CFR §13.20(b)(6) and §13.30
<input type="checkbox"/>	Invoices and supporting documentation	44 CFR §13.20(b)(6)
PROCUREMENT REQUIREMENTS - Evidence of proper procurement		44 CFR §13.36
<input type="checkbox"/>	Competitive process (Quote/Request for Proposal [RFP]/Request for Qualifications [RFQ])	44 CFR §13.36(c) and (d)(3)
<input type="checkbox"/>	• Proposals (with price for Project Management [PM] and construction)	44 CFR §13.36(b)(9)
<input type="checkbox"/>	Advertisement (publicize)	44 CFR §13.36(d)(3)(i)
<input type="checkbox"/>	Responses to RFP/RFQ	44 CFR §13.36(d)(3)(i) and RP 9580.212
<input type="checkbox"/>	• Cost analysis must be provided with architect/engineer (A/E) RFQ	44 CFR §13.36(b)(9)
<input type="checkbox"/>	Selection process (scoring sheets, bid tabulations, etc.)	44 CFR §13.36(d)(3)(iii)
<input type="checkbox"/>	Cost analysis (when required)	44 CFR §13.36(f)(1)
<ul style="list-style-type: none"> Local governments and quasi-governmental agencies – such as port authorities, levee boards, etc. – must follow 44 CFR §13.36 and the cost principles articulated in 2 CFR §225. Private nonprofits (PNPs) are required to follow: <ul style="list-style-type: none"> 44 CFR §13.36 in addition to the <i>Uniform Administrative Requirements for grants and Agreements</i> as per 2 CFR §215. Cost principles articulated in 2 CFR §230. Educational institutions are required to follow 44 CFR §13.36 and 2 CFR §220. 		

ADDITIONAL DOCUMENTATION REQUIREMENTS FOR ACQUISITION		44 CFR §80 and HMA Unified Guidance - June 2010 - Part IX, pages 74-97
<input type="checkbox"/>	NFIP Repetitive Loss Update Worksheet FEMA form AW-501 (for all Repetitive Loss [RL] and Severe Repetitive Loss [SRL] properties included in the project) (form required)	HMA Unified Guidance - June 2010 - Part VI, D.2.1, page 47
<input type="checkbox"/>	Appraisal	HMA Unified Guidance - June 2010 - Part IX, A.11.1-2, page 86
<input type="checkbox"/>	U.S. Department of Housing and Urban Development (HUD) statement and closing documents	44 CFR §80.17(b)
<input type="checkbox"/>	Recorded deed restriction	44 CFR §80.21
<input type="checkbox"/>	Displacement documentation (tenant has to move during a project temporarily) (if applicable)	HMA Unified Guidance - June 2010 - Part IX, A.12, page 89 and 44 CFR §80.17(c)(5)
<input type="checkbox"/>	Proof that demolition was completed within 90 days of the property close date	44 CFR §80.17(d)
<input type="checkbox"/>	Signed hazardous materials forms (if applicable)	44 CFR §80.17(a)
ADDITIONAL DOCUMENTATION REQUIREMENTS FOR ELEVATION + RECONSTRUCTION		
<input type="checkbox"/>	NFIP Repetitive Loss Update Worksheet FEMA form AW-501 (for all Repetitive Loss [RL] and Severe Repetitive Loss [SRL] properties included in the project) (form required)	HMA Unified Guidance - June 2010 - Part VI, D.2.1, page 47
<input type="checkbox"/>	Categorical Exclusion (CATEX) (In FEMA Approval letter – excludes the project from needing an environmental assessment or environmental impact statement)	44 CFR §10.8(d)
<input type="checkbox"/>	Initial elevation certificate	NFIP Elevation Certificate - FEMA form 81-31, March 2009 and HMA Unified Guidance - June 2010 - Part IX, E.4, page 143
<input type="checkbox"/>	Final elevation certificate (proof that the structure was elevated to the height stated in the original scope of work)	NFIP Elevation Certificate - FEMA form 81-31, March 2009 and HMA Unified Guidance - June 2010 - Part IX, E.6, page 144
<input type="checkbox"/>	Displacement documentation (tenant has to move during a project temporarily) (if applicable)	HMA Unified Guidance - June 2010 - Part IX, E.3.1, page 141
<input type="checkbox"/>	Termite contract (if applicable)	GOHSEP requirement
<input type="checkbox"/>	Certificate of occupancy	HMA Unified Guidance - June 2010 - Part IX, E.6, page 144
<input type="checkbox"/>	Verification of flood insurance (declaration page required for Project Formulation, non-disaster grants and a Best Practice for Project Formulation for disaster grants)	HMA Unified Guidance - June 2010 - Part IX, E.6, page 145
<input type="checkbox"/>	Certification/drawing/plan from a building official or licensed design professional (verifying the structure was designed and constructed to the minimum standard of the 2006 International Building Code [IBC])	HMA Unified Guidance - June 2010 - Part IX, D.9, page 138
ADDITIONAL DOCUMENTATION REQUIREMENTS FOR DRAINAGE (projects can be phased to develop design, engineering, environmental or feasibility studies)		
<input type="checkbox"/>	Hydrology and hydraulic (H&H) study	HMA Unified Guidance - June 2010 - Part III, D.4, page 18 and Part VIII, A.9, page 55
<input type="checkbox"/>	Stamped/signed plans/drawings	HMA Unified Guidance - June 2010 - Part IV, H.5, page 35
<input type="checkbox"/>	<ul style="list-style-type: none"> Engineers certification (Code of Compliance) 	HMA Unified Guidance - June 2010 - Part III, D.4, page 18

Getting Ready For Your Site Visit (Monitoring)

Documentation Requirements Checklists

Public Assistance (PA)

Hazard Mitigation (HM)

General Documentation Requirements for Public Assistance (PA) + Hazard Mitigation (HM) Site Visit

★ is a Best Practice

NOTES:

- All documents must be legible and permanent.
- Off-site backup of records is a risk management Best Practice.
- Records must be maintained for **three (3) years** from the date of the final certification of completion of your last project associated with the specific disaster.
- Banks may not be required to keep their records for more than **four (4) years**. Check with your bank to determine its retention schedule.

GENERAL DOCUMENTATION REQUIREMENTS

<input type="checkbox"/>	Notification to GOHSEP of award to subgrantee
<input type="checkbox"/>	Subgrantee monitoring documentation (to ensure subgrantee is following requirements)
<input type="checkbox"/>	<i>Reimbursement Request Form (RRF)</i> for Public Assistance (PA) funds (required to initiate a request to GOHSEP for payment)
<input type="checkbox"/>	GOHSEP/Subgrantee <i>Memorandum of Understanding (MOU)</i> (optional for Katrina/Rita Applicants; required for all others)
<input type="checkbox"/>	Active Dun & Bradstreet (D-U-N-S) Number registered with System for Award Management (SAM.gov)
<input type="checkbox"/>	Project Worksheets (PW) and Versions (required form)
<input type="checkbox"/>	Insurance settlement documents (copy of settlement check and litigation documents, if any)
<input type="checkbox"/>	Insurance policy in force at time of Closeout (to meet obtain and maintain [O & M] requirements)
<input type="checkbox"/>	Invoices/receipts (or inventory, stock records)
<input type="checkbox"/>	Proof of payment (cancelled checks – banks may not be required to keep records for more than four [4] years)
<input type="checkbox"/>	General policies and procedures
<input type="checkbox"/>	<ul style="list-style-type: none"> • Code of Ethics (that give conduct to avoid conflicts of interest)
<input type="checkbox"/>	<ul style="list-style-type: none"> • Procurement
<input type="checkbox"/>	<ul style="list-style-type: none"> • Expenditure cycle (accounts payable procedures)
<input type="checkbox"/>	<ul style="list-style-type: none"> • Employee time and attendance
<input type="checkbox"/>	<ul style="list-style-type: none"> • Records retention
<input type="checkbox"/>	<ul style="list-style-type: none"> • Asset and inventory management
<input type="checkbox"/>	<ul style="list-style-type: none"> • Methodology to manage assets and inventory

GETTING READY FOR YOUR SITE VISIT: GENERAL DOCUMENTATION REQUIREMENTS FOR PUBLIC ASSISTANCE (PA) + HAZARD MITIGATION (HM)

Additional Requirements for Public Assistance (PA) Site Visit Documentation Requirements Checklist

NOTES:

- Records must be maintained for **three (3)** years from the date of the final certification of completion of your last project associated with the specific disaster.
- Banks may not be required to keep their records for more than **four (4)** years. Check with your bank to determine its retention schedule.

WORK PERFORMED BY FORCE ACCOUNT LABOR (FAL) (your employees)

<input type="checkbox"/>	Force Account Labor Record FEMA form 90-123 or equivalent (FEMA form preferred)
<input type="checkbox"/>	Fringe benefit breakdown (Applicant's Benefits Calculation Worksheet FEMA form 90-128) (FEMA form preferred)
<input type="checkbox"/>	Pre-existing straight time, overtime and personnel policies including job descriptions
<input type="checkbox"/>	Timesheets that log employee time on eligible Direct Administrative Cost (DAC) tasks by Project Worksheet (PW)
<input type="checkbox"/>	Timekeeping documentation (for all work other than DAC) that supports the Force Account Labor Record form
<input type="checkbox"/>	Payroll records and/or check register

WORK PERFORMED USING FORCE ACCOUNT EQUIPMENT (FAE) (your equipment)

<input type="checkbox"/>	Force Account Equipment Record FEMA form 90-127 or equivalent (FEMA form preferred)
<input type="checkbox"/>	Proof of equipment ownership (when equipment is in excess of \$5,000) (e.g. inventory, titles etc.)
<input type="checkbox"/>	Proof of use of equipment (e.g. equipment usage and operator timesheets)

WORK PERFORMED USING FORCE ACCOUNT MATERIALS (materials in your inventory) OR PURCHASED FOR THE DISASTER

<input type="checkbox"/>	Force Account Materials Summary Record FEMA form 90-124 or equivalent (FEMA form preferred)
<input type="checkbox"/>	Inventory and evidence of proper procurement (when purchasing new materials)
<input type="checkbox"/>	Load tickets: Non-debris (e.g. road construction)
<input type="checkbox"/>	Proof of payment

RENTED EQUIPMENT

<input type="checkbox"/>	Rented Equipment Record FEMA form 90-125 or equivalent (FEMA form preferred)
<input type="checkbox"/>	Invoices/receipts and evidence of proper procurement (see Procurement section below)
<input type="checkbox"/>	Copy of signed rental agreement

<input type="checkbox"/>	Proof of payment (cancelled checks – banks may not be required to keep records for more than four [4] years)
WORK PERFORMED BY CONTRACTORS	
<input type="checkbox"/>	Contract Summary Record FEMA form 90-126 or equivalent (FEMA form preferred)
<input type="checkbox"/>	Invoices/pay applications
<input type="checkbox"/>	Executed contract with all applicable amendments and change orders
<input type="checkbox"/>	Contractor time sheets (for DAC reimbursement) that log employee time by eligible task by PW
<input type="checkbox"/>	Load tickets and truck certifications required for debris contracts
<input type="checkbox"/>	Proof of payment (cancelled checks – banks may not be required to keep records for more than four [4] years)
DEBRIS OPERATIONS	
<input type="checkbox"/>	Pre-qualified contractor list
<input type="checkbox"/>	Disposal permits
<input type="checkbox"/>	Truck certification
<input type="checkbox"/>	Load tickets
<input type="checkbox"/>	Stump worksheet
PROCUREMENT REQUIREMENTS - Evidence of proper procurement	
<input type="checkbox"/>	Competitive process (Quote/Request for Proposal [RFP]/Request for Qualifications [RFQ])
<input type="checkbox"/>	Advertisement (publicize)
<input type="checkbox"/>	Responses to RFP/RFQ
<input type="checkbox"/>	Selection process (scoring sheets, bid tabulations, etc.)
<input type="checkbox"/>	Cost analysis (when required)
<input type="checkbox"/>	State Contract (when used, include unit price and other relevant detail)
<ul style="list-style-type: none"> • Local governments and quasi-governmental agencies – such as port authorities, levee boards, etc. – must follow 44 CFR §13.36 and the cost principles articulated in 2 CFR §225. • Private nonprofits (PNPs) are required to follow: <ul style="list-style-type: none"> • 44 CFR §13.36 in addition to the <i>Uniform Administrative Requirements for grants and Agreements</i> as per 2 CFR §215. • Cost principles articulated in 2 CFR §230. • Educational institutions are required to follow 44 CFR §13.36 and 2 CFR §220. 	

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Additional Requirements for Hazard Mitigation (HM) Site Visit Documentation Requirements Checklist

ADDITIONAL DOCUMENTATION REQUIREMENTS FOR HM PROJECTS

NOTES:

- Records must be maintained for **three (3) years** from the date of the final certification of completion of your last project associated with the specific disaster.
- Banks may not be required to keep their records for more than **four (4) years**. Check with your bank to determine its retention schedule.

<input type="checkbox"/>	Invoices and cancelled checks
<input type="checkbox"/>	Copies of all <i>Quarterly Reports</i> within the project performance period
<input type="checkbox"/>	Proof of subgrantee match (e.g. invoices, receipts, volunteer timesheets, proof of labor rates, etc. that are charges related to the project)
<input type="checkbox"/>	Signed <i>Duplication of Benefits (DOB) form</i> (form required)
<input type="checkbox"/>	Documentation that bid guidelines were followed for construction and consulting contracts (see below categories for specific items)
<input type="checkbox"/>	Documentation of scope changes

PROPERTY INFORMATION

<input type="checkbox"/>	Project photos – 0%, 50% and 100% (completion) Photos must show all four (4) sides of the structure to include all stairs, landings, decks, patios, carports, garages, driveways, A/C units, gas lines/meters, electrical lines, piping, etc. Roof must be shown if necessary for wind retrofit (original HMGP application)
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PROCUREMENT REQUIREMENTS - Evidence of proper procurement

<input type="checkbox"/>	Invoices
<input type="checkbox"/>	Competitive process (Quote/Request for Proposal [RFP]/Request for Qualifications [RFQ])
<input type="checkbox"/>	<ul style="list-style-type: none"> • Proposals (with price for Project Management [PM] and construction)
<input type="checkbox"/>	Selection process (scoring sheets, bid tabulations, etc.)
<input type="checkbox"/>	Advertisement (publicize)
<input type="checkbox"/>	Responses to RFP/RFQ
<input type="checkbox"/>	<ul style="list-style-type: none"> • Cost analysis must be provided with architect/engineer (A/E) RFQ
<input type="checkbox"/>	Cost analysis (when required)

<input type="checkbox"/>	Executed contract with all applicable amendments and change orders
<input type="checkbox"/>	Proof of payment (cancelled checks – banks may not be required to keep records for more than four [4] years)
PROJECT MANAGEMENT	
<input type="checkbox"/>	Time and task broken down by project (e.g. timesheets, invoices)
<input type="checkbox"/>	Line item cost breakdown
<input type="checkbox"/>	Signed contract, amendments, work orders, etc. (if applicable) (see Procurement requirements)
<input type="checkbox"/>	<ul style="list-style-type: none"> • Cost analysis (if applicable) (see Procurement requirements)
ADDITIONAL DOCUMENTATION REQUIREMENTS FOR ACQUISITION	
<input type="checkbox"/>	Copy of agreement to maintain property as green space
<input type="checkbox"/>	Proof that demolition was completed within 90 days of the property close date
<input type="checkbox"/>	Voluntary participation agreement (VPA) (for projects that involve private property only)
<input type="checkbox"/>	Signed <i>Duplication of Benefits (DOB)</i> form (form required)
ADDITIONAL DOCUMENTATION REQUIREMENTS FOR ELEVATION	
<input type="checkbox"/>	VPA (for projects that involve private property only)
<input type="checkbox"/>	Copy of <i>Acknowledgement of Conditions</i> , signed and notarized
<input type="checkbox"/>	Verification of flood insurance (declaration page required for Project Formulation, non-disaster grants and a Best Practice for Project Formulation for disaster grants)
ADDITIONAL DOCUMENTATION REQUIREMENTS FOR RECONSTRUCTION	
<input type="checkbox"/>	VPA (for projects that involve private property only)
<input type="checkbox"/>	Verification of flood insurance (declaration page required for Project Formulation, non-disaster grants and a Best Practice for Project Formulation for disaster grants)
ADDITIONAL DOCUMENTATION REQUIREMENTS FOR DRAINAGE	
<input type="checkbox"/>	VPA (for projects that involve private property only) (if applicable)
<input type="checkbox"/>	<ul style="list-style-type: none"> • Engineers certification (<i>Code of Compliance</i>)

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