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=b88be42f570bbb3fa992d 90e718ee545&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

AcronymsDocumentation 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

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MAA MOU

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OMB

PA

PM

PNP

PW

RFP

RFQ

RL

RP

RPA RRF

sow

SRL

SF

SAM.gov

SFHA

VPA







GOHSEP Disaster Recovery Division (DRD) ContactsDocumentation Requirements Checklists

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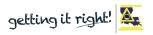
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Public Assistance (PA)

Documentation Requirements Checklists

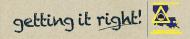
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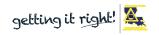






PA Pre-event Documentation Checklist

★ is a Best Practice					
All doc	NOTES: • All documents must be legible and permanent. FOR MORE INFORMATION CHECK THESE SOURCES				
associated with the specific disaster.		44 CFR §13.42(b)(1) and (c)(1) and <i>Public Assistance Guide</i> - FEMA 322/June 2007, page 138			
GENE	RAL DOCUMENTATION REQUIREMENTS				
*	Active Dun & Bradstreet (D-U-N-S) Number registered with System for Award Management (SAM.gov)	Federal Contracts Perspective, December 2012, Federal Acquisition Circular (FAC) 2005-62 and Request for Public Assistance (RPA) FEMA form 90-49, August 2010			
*	Insurance policy in force	44 CFR §206.250-253			
*	Insurance Commissioner's Certification (ICC) (waiver, if applicable)	44 CFR §206.252(d) and §206.253(b)(1)			
*	List of facilities	-			
*	Maintenance records of public works systems	Public Assistance Guide - FEMA 322/June 2007, page 33			
WORK	PERFORMED BY FORCE ACCOUNT LABOR (FAL) (your employees)	44 CFR §206.221(b) and §206.228(a)(2)			
*	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)			
*	A record-keeping process that logs employee time by eligible task and by Project Worksheet (PW)	Public Assistance Guide - FEMA 322/June 2007, page 137			
	PERFORMED USING FORCE ACCOUNT MATERIALS (materials in your inventory) RCHASED FOR THE DISASTER	Public Assistance Policy Digest - FEMA 321/January 2008, page 48			
*	Materials and supplies inventory	Public Assistance Policy Digest - FEMA 321/January 2008, page 48			
PRE-I	PRE-EVENT CONTRACTS 44 CFR §13.36				
*	Pre-event contracts (debris monitoring, debris management, sheltering, etc.)	Post-Katrina Emergency Management Reform Act of 2006			
*	Pre-qualified contractor list	44 CFR §13.36(c)(4)			
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DEBR	RIS OPERATIONS PLANNING	Debris Management Guide - FEMA 325/July 2007
*	FEMA-approved <i>Debris Management Plan</i> (On or after January 29, 2013, Applicant needs FEMA approved pre-event debris plan to qualify for financial incentive)	Debris Management Guide - FEMA 325/July 2007, Appendix A
*	Pre-approved debris management sites	Debris Management Guide - FEMA 325/July 2007, pages 72-73

Notes			

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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).

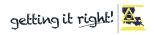
- · All documents must be legible and permanent.
- . Off-site backup of records is a risk management Best Practice.
- Records must be maintained for three (3) years from the date of the final certification of completion of your last project associated with the specific disaster.
- Banks may not be required 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 App	licants:	
	Completed Request for Public Assistance (RPA) FEMA form 90-49 (form required)	Public Assistance Guide - FEMA 322/June 2007, pages 92-93 and Public Assistance Applicant Handbook - FEMA 323/March 2010, page 9
Private	nonprofits (PNPs) require the following additional information:	
	PNP Facility Questionnaire FEMA form 90-121 (form required)	FEMA form 90-121, February 2009
	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</i> - FEMA 322/June 2007, page 11 and DAP 9521.3 VII(A)(i)
	Evidence that the organization is in good standing with the Secretary of State	Public Assistance Guide - FEMA 322/June 2007, page 11 and GOHSEP requirement
	School accreditation or certification (only if an educational institution)	FEMA requirement
	Daycare license (only if a daycare)	GOHSEP requirement
	Insurance policy in force at time of event	44 CFR §206.250-252(d)
	Proof of legal responsibility for facility (e.g. lease, proof of ownership)	44 CFR §206.223(a)(3) and Public Assistance Guide - FEMA 322/June 2007, page 23









Notes

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.

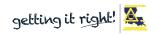
FOR MORE INFORMATION CHECK THESE SOURCES

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

GENERAL DOCUMENTATION REQUIREMENTS

	List of damages	44 CFR 206.202(d)
	Proof of legal responsibility for facility (e.g. lease, proof of ownership)	44 CFR §206.223 and <i>Public</i> Assistance Guide - FEMA 322/June 2007, page 23
	Insurance policy in force at time of event	44 CFR §206.250-253
	Insurance settlement documents (copy of settlement check and litigation documents, if any)	44 CFR §206.191 Public Assistance Guide - FEMA 322/June 2007, pages 41-42 and DAP 9525.3
	Insurance Commissioner's Certification (ICC) (waiver, if applicable)	44 CFR §252(d) and §253(b)(1)
	Maintenance records of public works systems	Public Assistance Guide - FEMA 322/June 2007, 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)	§206.228(a)(2)
	Force Account Labor Record FEMA form 90-123 or equivalent (FEMA form preferred)	FEMA form 90-123, October 2012
	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)
*	Timekeeping documentation (for all work other than Direct Administrative Cost [DAC]) that supports the Force Account Labor Record 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 (Applicant's Benefits Calculation Worksheet FEMA form 90-128) (FEMA form preferred)	Public Assistance Guide - FEMA 322/June 2007, pages 45-47









WORK	PERFORMED USING FORCE ACCOUNT EQUIPMENT (FAE) (your equipment)	44 CFR §206.221(b) and §206.228(a)(1)
	Force Account Equipment Record FEMA form 90-127 or equivalent (FEMA form preferred)	FEMA form 90-127, October 2012 and 44 CFR §13.32
	Proof of equipment ownership	44 CFR §13.20(b)(6) and §13.32
	Proof of equipment usage	44 CFR §13.20(b)(6) and Public Assistance Guide - FEMA 322/June 2007, pages 48-49
	PERFORMED USING FORCE ACCOUNT MATERIALS (materials in your inventory) RCHASED FOR THE DISASTER	Public Assistance Guide - FEMA 322/June 2007, page 48
	Force Account Materials Summary Record FEMA form 90-124 or equivalent (FEMA form preferred)	FEMA form 90-124, October 2012
	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</i> Assistance Policy Digest - FEMA 321/January 2008, page 84
RENT	ED EQUIPMENT	Public Assistance Policy Digest - FEMA 321/January 2008, page 49
	Rented Equipment Record FEMA form 90-125 or equivalent (FEMA form preferred)	FEMA form 90-125, October 2012
	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
	Contract Summary Record FEMA form 90-126 or equivalent (FEMA form preferred)	FEMA form 90-126, October 2012
	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
DEBR	IS OPERATIONS	Debris Management Guide - FEMA 325/July 2007 and Debris Monitoring Guide - FEMA 327/October 2010
	Disposal permits	Louisiana Environmental Regulatory Code 301 B
	Truck certification (if available)	Debris Monitoring Guide - FEMA 327/October 2010, pages 19-20
	Load tickets (if available)	Debris Monitoring Guide - FEMA 327/October 2010, page 19
PROC	UREMENT REQUIREMENTS - Evidence of proper procurement	44 CFR §13.36
	Competitive process (Quote/Request for Proposal [RFP]/Request for Qualifications [RFQ])	44 CFR §13.36(d)(2)(3)
	Advertisement (publicize)	44 CFR §13.36(d)(3)(i)
	Responses to RFP/RFQ	44 CFR §13.36(d)(3)(i) and RP 9580.212

		Selection process (scoring sheets, bid tabulations, etc.)	44 CFR §13.36(d)(3)(iii)		
		Cost analysis (when required)	44 CFR §13.36(f)(1)		
		State Contract (when used, include unit price and other relevant detail)	GOHSEP requirement		
•	• 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: 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. 				
•	Educati	onal institutions are required to follow 44 CFR §13.36 and 2 CFR §220.			

Notes			

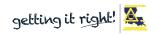
FOR MORE INFORMATION

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: **CHECK THESE SOURCES** • 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 44 CFR §13.42(b)(1) and (c)(1) associated with the specific disaster. and Public Assistance Guide -• Banks may not be required to keep their records for more than four (4) years. Check with your bank to determine its FEMA 322/June 2007, page 138 retention schedule. GENERAL DOCUMENTATION REQUIREMENTS 2013 State of Louisiana GOHSEP/Subgrantee Memorandum of Understanding (MOU) (optional for Katrina/Rita Applicants; Administrative Plan for Public required for all others) Assistance(V)(B)(3)(b) 2013 State of Louisiana Reimbursement Request Form (RRF) for Public Assistance (PA) Funds required to initiate a Administrative Plan for Public request to GOHSEP for payment Assistance(V)(E)(1) Time extension approval letters (if any) 44 CFR §206.204(d) Evidence of proper procurement (see Procurement section below) 44 CFR §13.36 \star 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) Public Assistance Policy Digest -FEMA 321/January 2008, page \star Insurance statement of loss (if available) 38 and Public Assistance Guide -FEMA 322/June 2007, page 41 44 CFR §206.221(b) and WORK PERFORMED BY FORCE ACCOUNT LABOR (FAL) (your employees) §206.228(a)(2) Force Account Labor Record FEMA form 90-123 or equivalent (FEMA form preferred) FEMA form 90-123, October 2012 Fringe benefit breakdown (Applicant's Benefits Calculation Worksheet FEMA form 90-128) (FEMA form Public Assistance Guide - FEMA 322/June 2007, pages 45-47 Public Assistance Guide - FEMA Pre-existing straight time, overtime and personnel policies including job descriptions 322/June 2007, pages 44-45 and RP 9525.7, VII(c) Timesheets that log employee time on eligible Direct Administrative Cost (DAC) tasks by **DAP 9525.9** Project Worksheet (PW) Timekeeping documentation (for all work other than DAC) that supports the Force Account Labor 44 CFR §13.20(b)(6) \star Record form \star Payroll records and/or check register 44 CFR §13.20(b)(6)









VORK	PERFORMED USING FORCE ACCOUNT EQUIPMENT (FAE) (your equipment)	44 CFR §206.228(a)(1)
	Force Account Equipment Record FEMA form 90-127 or equivalent (FEMA form preferred)	FEMA form 90-127, October 2012 and 44 CFR §13.32
	Proof of equipment usage	44 CFR §13.20(b)(6) and Public Assistance Guide - FEMA 322/Jun 2007, page 48
*	Proof of equipment ownership	44 CFR §13.20(b)(6) and §13.32
	PERFORMED USING FORCE ACCOUNT MATERIALS (materials in your inventory) URCHASED FOR THE DISASTER	Public Assistance Guide - FEMA 322/June 2007, page 48
	Force Account Materials Summary Record FEMA form 90-124 or equivalent (FEMA form preferred)	FEMA form 90-124, October 2012
	Invoices/receipts for restocking inventory and evidence of proper procurement	44 CFR §13.20(b)(6) and §13.36
	Sign-in sheets for meals	44 CFR §13.20(c)(6)
	Materials and supplies inventory record	Public Assistance Guide - FEMA 322/June 2007, page 48
REN	TED EQUIPMENT	Public Assistance Policy Digest - FEMA 321/January 2008, page 49
	Rented Equipment Record FEMA form 90-125 or equivalent (FEMA form preferred)	FEMA form 90-125, October 201
	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
	Contract Summary Record FEMA form 90-126 or equivalent (FEMA form preferred)	FEMA form 90-126, October 2012
	Invoices/certified pay applications/receipts and evidence of proper procurement (if available)	44 CFR §13.20(b)(6)
	Executed contract with all applicable amendments and change orders	44 CFR §13.20(b)(6) and §13.30
	Contractor time sheets (for DAC reimbursement) 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</i> - FEMA 325/Jul 2007, page 109
PRO(CUREMENT REQUIREMENTS - Evidence of proper procurement	44 CFR §13.36
PROC	CUREMENT REQUIREMENTS - Evidence of proper procurement Competitive process (Quote/Request for Proposal [RFP]/Request for Qualifications [RFQ])	44 CFR §13.36 44 CFR §13.36(d)(2)(3)
	Competitive process (Quote/Request for Proposal [RFP]/Request for Qualifications [RFQ])	44 CFR §13.36(d)(2)(3)

	Cost analysis (when required)	44 CFR §13.36(f)(1)	
	State Contract (when used, include unit price and other relevant detail)	GOHSEP requirement	
Local governments and quasi-governmental agencies – such as port authorities, levee hoards, etc. – must follow 44 CFR \$13.36 and the cost principles articulated in 2 CFR			

- 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:
 - 44 CFR §13.36 in addition to the *Uniform Administrative Requirements* 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.

Notes	

PA Closeout

Documentation Requirements Checklist

★ is a Best Practice

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

NOTES:

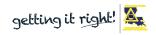
- All documents must be legible and permanent.
- . Off-site backup of records is a risk management Best Practice.
- Records must be maintained for three (3) years from the date of the final certification of completion of your last project associated with the specific disaster.
- Banks may not be required 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

GENERAL DOCUMENTATION REQUIREMENTS					
	Insurance policy in force at time of event	44 CFR §206.250-253			
	Insurance settlement documents (copy of settlement check and litigation documents, if any)	44 CFR §206.191 Public Assistance Guide - FEMA 322/June 2007, pages 41-42 and DAP 9525.3			
	Insurance policy in force at time of Closeout (to meet obtain and maintain [O & M] requirements)	44 CFR §252(d) and §253(b)(1)			
	Insurance Commissioner's Certification (ICC) (waiver, if applicable)	44 CFR §252(d) and §253(b)(1)			
	Closeout certification forms for large and small projects	GOHSEP forms			
	Evidence of proper procurement (see Procurement section below)	44 CFR §13.36			
	Sign-in sheets for meals	44 CFR §13.20(c)(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)			
	Reimbursement Request Form (RRF) required for any cost overruns captured in Closeout version (see Grant Reimbursement Documentation Requirements Checklist)	GOHSEP form			
WORK	PERFORMED BY FORCE ACCOUNT LABOR (FAL) (your employees)	44 CFR §206.221(b) and §206.228(a)(2)			
	Force Account Labor Record FEMA form 90-123 or equivalent (FEMA form preferred)	FEMA form 90-123, October 2012			
	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			
	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)			
	Timekeeping documentation (for all work other than Direct Administrative Cost [DAC]) that supports the Force Account Labor Record form	44 CFR §13.20(b)(6)			



Payroll records and/or check register



Timesheets that log employee time on eligible DAC tasks by Project Worksheet (PW)



DAP 9525.9

44 CFR §13.20(b)(6)



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

- 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:
 - 44 CFR §13.36 in addition to the *Uniform Administrative Requirements* 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.

Notes		

Publication Date: June 5, 2013 PA Closeout Page 3 of 3

Hazard Mitigation (HM)

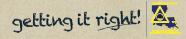
Documentation Requirements Checklists

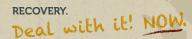
Pre-event

Hazard Mitigation Assistance (HMA)
Application Development

Grant Reimbursement

Closeout





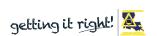


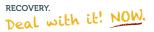


HM Pre-event Documentation Checklist

		★ is a Best Practice
NOTE All do	S: cuments must be legible and permanent.	FOR MORE INFORMATION CHECK THESE SOURCES
Record associBanks	e backup of records is a risk management Best Practice. Is must be maintained for three (3) years from the date of the final certification of completion of your last project ated with the specific disaster. may not be required to keep their records for more than four (4) years. Check with your bank to determine its on schedule.	44 CFR §13.42(b)(1) and (c)(1) and <i>Public Assistance Guide</i> - FEMA 322/June 2007, page 138
GENE	RAL DOCUMENTATION REQUIREMENTS	
*	Develop Hazard Mitigation Assistance (HMA) application proposals	44 CFR §206.434(c) and HMA Unified Guidance - June 2010 - Part IV, G, page 28
*	List of eligible prioritized mitigation projects	44 CFR §206.434(d)
HAZA	RD MITIGATION PLANS	
*	One (1) Parish-level Hazard Mitigation Plan (up-to-date and FEMA-approved)	44 CFR §201.6 and §206.434(b) and <i>HMA Unified Guidance</i> - June 2010 - Part IV, D.5, page 19

Notes









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 postdisaster, 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

HMA Unified Guidance - June 2010 To apply for non-disaster HMA, Applicants must use the FEMA web-based eGrants system - Part IV, B, page 24 and IS-32: Mitigation eGrants Internal System

Hazard Mitigation Grant Program (HMGP) application

Letter of intent (LOI) to participate in the program

- HMGP: GOHSEP Hazard Mitigation Grant Program (HMGP) Project Application (form required) 44 CFR §206.436(c) FEMA form SF-424 and 44 Application for Federal Assistance Office of Management and Budget (OMB) form SF-CFR §206.436(c) and Office of Management and Budget (OMB) 424 (form required) Circular A-47
 - · Assurances for Construction Programs Office of Management and Budget (OMB) form SF-424 D (form required)

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

• Voluntary participation agreement (VPA) (for projects that involve private property only)

- Funds commitment letter (assurance that you can meet the match)
- \Box . Duplication of benefits (DOB) disclosure
- Itemized and detailed budget (include Project Management as a line item)
- 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)

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

State requirement

Part III, C.4, page 11

GOHSEP requirement

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

HMA Unified Guidance - June 2010 -Part IV, H.3, page 32

GOHSEP requirement for acquisition, elevation and drainage

HMA Unified Guidance - June 2010 -Part IV, H.1.1, page 29







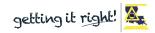


ADDITIONAL DOCUMENTATION REQUIREMENTS FOR ELEVATION + RECONSTRUCTION					
*	Initial elevation certificate (if available)	NFIP Elevation Certificate - FEMA form 81-31, March 2009 and HMA Unified Guidance - June 2010 - Part IX, E.4, page 143			
*	Verification of flood insurance	HMA Unified Guidance - June 2010 - Part IX, E.6, page 145			
	ONAL DOCUMENTATION REQUIREMENTS FOR DRAINAGE (projects can be phased to sign, engineering, environmental or feasibility studies)				
	Stamped/signed plans/drawings	HMA Unified Guidance - June 2010 - Part IX, H.5, page 35			
	Hydrology and hydraulic (H&H) study	HMA Unified Guidance - June 2010 - Part III, D.4, page 18 and Part VIII, A.9, page 55			

Notes			

HM Grant Reimbursement Documentation Requirements Checklist

		★ is a Best Practice
	uments must be legible and permanent.	FOR MORE INFORMATION CHECK THESE SOURCES
Record associa Banks	e backup of records is a risk management Best Practice. Is must be maintained for three (3) years from the date of the final certification of completion of your last project sted with the specific disaster. May not be required to keep their records for more than four (4) years. Check with your bank to determine its on schedule.	44 CFR §13.42(b)(1) and (c)(1) and <i>Public Assistance Guide</i> - FEMA 322/June 2007, page 138
ENE	RAL DOCUMENTATION REQUIREMENTS	
	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)
	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
	Duplication of benefits (DOB) disclosure	HMA Unified Guidance - June 2010 - Part III, C.4, page 11
	Itemized and detailed budget (include Project Management [PM] as a line item)	HMA Unified Guidance - June 2010 - Part IV, H.3, page 32
	Evidence of proper procurement (see Procurement section below)	44 CFR §13.36
	Voluntary participation agreement (VPA) (for projects that involve private property only)	GOHSEP requirement for acquisition, elevation and drainage
	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)	HMA Unified Guidance - June 2010 - Part IV, H.1.1, page 29
	Request for Advance or Reimbursement Office of Management and Budget (OMB) form SF-270	GOHSEP requirement
*	Construction photos (in progress photos of the activity)	HMA Unified Guidance - June 2010 - Part IV, H.1.1, page 29
VORK	PERFORMED BY CONTRACTORS	44 CFR §13.36
	Executed contract with all applicable amendments and change orders	44 CFR §13.20(b)(6) and §13.30
	Invoices and supporting documentation	44 CFR §13.20(b)(6)
PROC	UREMENT REQUIREMENTS - Evidence of proper procurement	44 CFR §13.36
	Competitive process (Quote/Request for Proposal [RFP]/Request for Qualifications [RFQ])	44 CFR §13.36(c) and (d)(3)
	Proposals (with price for PM and construction)	44 CFR §13.36(b)(9)









	Advertisement (publicize)	44 CFR §13.36(d)(3)(i)
	Responses to RFP/RFQ	44 CFR §13.36(d)(3)(i) and RP 9580.212
	Cost analysis must be provided with architect/engineer (A/E) RFQ	44 CFR §13.36(b)(9)
	Selection process (scoring sheets, bid tabulations, etc.)	44 CFR §13.36(d)(3)(iii)
	Cost analysis (when required)	44 CFR §13.36(f)(1)
§225. Private	nonprofits (PNPs) are required to follow: 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.	the cost principles articulated in 2 CF
DDIT	IONAL DOCUMENTATION REQUIREMENTS FOR ACQUISITION	44 CFR §80 and <i>HMA Unified</i> Guidance - June 2010 - Part IX, pages 74-97
	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
	Appraisal	HMA Unified Guidance - June 2010 Part IX, A.11.1-2, page 86
	U.S. Department of Housing and Urban Development (HUD) statement and closing documents	44 CFR §80.17(b)
	Proof that demolition was completed within 90 days of the property close date	44 CFR §80.17(d)
	Recorded deed restriction	44 CFR §80.21
	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 CF §80.17(c)(5)
	IONAL DOCUMENTATION REQUIREMENTS FOR ELEVATION + NSTRUCTION	
	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
	Initial elevation certificate	NFIP Elevation Certificate - FEMA form 81-31, March 2009 and HM Unified Guidance - June 2010 - Pa IX, E.4, page 143
	Final elevation certificate (proof that the structure was elevated to the height stated in the original scope of work) (required for final payment)	NFIP Elevation Certificate - FEMA form 81-31, March 2009 and HN Unified Guidance - June 2010 - Pa IX, E.6, page 144
	7	UMAA Umifinal Coddonna - Ionna 2011
	Displacement documentation (tenant has to move during a project temporarily) (if applicable)	Part IX, E.3.1, page 141
	Displacement documentation (tenant has to move during a project temporarily) (if applicable) Termite contract (if applicable)	
	Termite contract (if applicable)	Part IX, E.3.1, page 141 GOHSEP requirement HMA Unified Guidance - June 201

	ONAL DOCUMENTATION REQUIREMENTS FOR DRAINAGE (projects can be phased to esign, engineering, environmental or feasibility studies)	
	Stamped/signed plans/drawings	HMA Unified Guidance - June 2010 - Part IV, H.5, page 35
	Hydrology and hydraulic (H&H) study	HMA Unified Guidance - June 2010 - Part III, D.4, page 18 and Part VIII, A.9, page 55
	Engineers certification (Code of Compliance)	HMA Unified Guidance - June 2010 - Part III, D.4, page 18
ADDITI	ONAL DOCUMENTATION REQUIREMENTS FOR WIND RETROFIT	
	Stamped/signed plans/drawings	HMA Unified Guidance - June 2010 - Part IV, H.5, page 35
ADDITI	ONAL DOCUMENTATION REQUIREMENTS FOR SAFE ROOMS	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
	Certified building plan	HMA Unified Guidance - June 2010 - Part IX, C.3, page 104
	Final operation and maintenance plan	HMA Unified Guidance - June 2010 - Part IX, C.4.3.3, page 123

Notes			

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

44 CFR §13.20(b)(6)

44 CFR §13.20(b)(6)

Part VI, D.1, page 45

HMA Unified Guidance - June 2010 -

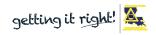
GENERAL DOCUMENTATION REQUIREMENTS

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
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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



Applicant project Closeout checklist

Invoices



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





	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	
	Documentation of scope changes	HMA Unified Guidance - June 2010 - Part VI, B.2, page 40	
	Environmental and historical reviews	HMA Unified Guidance - June 2010 - Part V, A.4, page 37	
	Duplication of benefits (DOB) disclosure	HMA Unified Guidance - June 2010 - Part III, C.4, page 11	
	Itemized and detailed budget (include Project Management [PM] as a line item)	HMA Unified Guidance - June 2010 - Part IV, H.3, page 32	
	Evidence of proper procurement (see Procurement section below)	44 CFR §13.36	
	Voluntary participation agreement (VPA) (for projects that involve private property only)	GOHSEP requirement for acquisition, elevation and drainage	
	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	
	Project Completion Certificate	GOHSEP requirement	
	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	
	Executed contract with all applicable amendments and change orders	44 CFR §13.20(b)(6) and §13.30	
	Invoices and supporting documentation	44 CFR §13.20(b)(6)	
PROC	UREMENT REQUIREMENTS - Evidence of proper procurement	44 CFR §13.36	
	Competitive process (Quote/Request for Proposal [RFP]/Request for Qualifications [RFQ])	44 CFR §13.36(c) and (d)(3)	
	Proposals (with price for Project Management [PM] and construction)	44 CFR §13.36(b)(9)	
	Advertisement (publicize)	44 CFR §13.36(d)(3)(i)	
	Responses to RFP/RFQ	44 CFR §13.36(d)(3)(i) and RP 9580.212	
	Cost analysis must be provided with architect/engineer (A/E) RFQ	44 CFR §13.36(b)(9)	
	Selection process (scoring sheets, bid tabulations, etc.)	44 CFR §13.36(d)(3)(iii)	
	Cost analysis (when required)	44 CFR §13.36(f)(1)	
 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: 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. 			

ADDITI	ONAL DOCUMENTATION REQUIREMENTS FOR ACQUISITION	44 CFR §80 and <i>HMA Unified Guidance</i> - June 2010 - Part IX, pages 74-97
	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
	Appraisal	HMA Unified Guidance - June 2010 Part IX, A.11.1-2, page 86
	U.S. Department of Housing and Urban Development (HUD) statement and closing documents	44 CFR §80.17(b)
	Recorded deed restriction	44 CFR §80.21
	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 CFF §80.17(c)(5)
	Proof that demolition was completed within 90 days of the property close date	44 CFR §80.17(d)
	Signed hazardous materials forms (if applicable)	44 CFR §80.17(a)
	ONAL DOCUMENTATION REQUIREMENTS FOR ELEVATION + NSTRUCTION NFIP Repetitive Loss Update Worksheet FEMA form AW-501 (for all Repetitive Loss [RL] and	HMA Unified Guidance - June 2010
TECU		HMA Unified Guidance - June 2010
	Severe Repetitive Loss [SRL] properties included in the project) (form required) Categorical Exclusion (CATEX) (In FEMA Approval letter – excludes the project from needing an	- Part VI, D.2.1, page 47 44 CFR §10.8(d)
	Initial elevation certificate	NFIP Elevation Certificate - FEMA form 81-31, March 2009 and HM Unified Guidance - June 2010 - Par IX, E.4, page 143
	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 HM Unified Guidance - June 2010 - Pa IX, E.6, page 144
	Displacement documentation (tenant has to move during a project temporarily) (if applicable)	HMA Unified Guidance - June 2010 Part IX, E.3.1, page 141
	Termite contract (if applicable)	GOHSEP requirement
	Certificate of occupancy	HMA Unified Guidance - June 2010 Part IX, E.6, page 144
	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
	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
ודוחמ	ONAL DOCUMENTATION REQUIREMENTS FOR DRAINAGE (projects can be phased to	
	esign, engineering, environmental or feasibility studies)	
	Hydrology and hydraulic (H&H) study	HMA Unified Guidance - June 2010 - Part III, D.4, page 18 and Part VIII A.9, page 55
	Stamped/signed plans/drawings	HMA Unified Guidance - June 2010 Part IV, H.5, page 35
	Engineers certification (Code of Compliance)	HMA Unified Guidance - June 2010 Part III, D.4, page 18

ADDITI	ONAL DOCUMENTATION REQUIREMENTS FOR SAFE ROOMS	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
	Certified building plan	HMA Unified Guidance - June 2010 - Part IX, C.3, page 104
	Final operation and maintenance plan	HMA Unified Guidance - June 2010 - Part IX, C.4.3.3, page 123
	Signage requirements and vicinity maps of Special Flood Hazard Area (SFHA) provided (if applicable)	HMA Unified Guidance - June 2010 - Part IX, C.4, page 125

Notes			

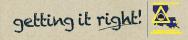
Publication Date: June 5, 2013 HM Closeout Page 4 of 4

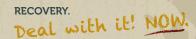
Getting Ready For Your Site Visit (Monitoring)

Documentation Requirements Checklists

Public Assistance (PA)

Hazard Mitigation (HM)









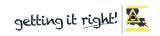
General Documentation Requirements for Public Assistance (PA) + Hazard Mitigation (HM) Site Visit

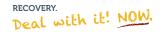
★ is a Best Practice

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.

GENE	RAL DOCUMENTATION REQUIREMENTS
	Notification to GOHSEP of award to subgrantee
	Subgrantee monitoring documentation (to ensure subgrantee is following requirements)
	Reimbursement Request Form (RRF) for Public Assistance (PA) funds (required to initiate a request to GOHSEP for payment)
	GOHSEP/Subgrantee Memorandum of Understanding (MOU) (optional for Katrina/Rita Applicants; required for all others)
	Active Dun & Bradstreet (D-U-N-S) Number registered with System for Award Management (SAM.gov)
	Project Worksheets (PW) and Versions (required form)
	Insurance settlement documents (copy of settlement check and litigation documents, if any)
	Insurance policy in force at time of Closeout (to meet obtain and maintain [O & M] requirements)
	Invoices/receipts (or inventory, stock records)
	Proof of payment (cancelled checks – banks may not be required to keep records for more than four [4] years)
	General policies and procedures
	Code of Ethics (that give conduct to avoid conflicts of interest)
	Procurement
	Expenditure cycle (accounts payable procedures)
	Employee time and attendance
	Records retention
	Asset and inventory management
	Methodology to manage assets and inventory









	Documentation to support a physical inventory is taken
	Prevention of loss, damage or theft
	Maintenance procedures
	Chart of accounts (identifies applicable programs) (coded expenses)
	Reconciliations
	Project-related expenses to project reimbursements
	Bank statement to General Ledger (GL)
	Documentation that supports Quarterly Reports
	Depreciation schedule
	Subgrantee A-133 audit report, if applicable (Audit [44 CFR 13.36(b)(3)] applies to those receiving more than \$500,000 in Federal funds in a single year)
*	Off-site backup of all documents to support the Federally-funded grant

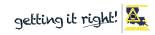
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Additional Requirements for Public Assistance (PA) Site Visit Documentation Requirements Checklist

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- 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)
	Force Account Labor Record FEMA form 90-123 or equivalent (FEMA form preferred)
	Fringe benefit breakdown (Applicant's Benefits Calculation Worksheet FEMA form 90-128) (FEMA form preferred)
	Pre-existing straight time, overtime and personnel policies including job descriptions
	Timesheets that log employee time on eligible Direct Administrative Cost (DAC) tasks by Project Worksheet (PW)
	Timekeeping documentation (for all work other than DAC) that supports the Force Account Labor Record form
	Payroll records and/or check register
WORK	PERFORMED USING FORCE ACCOUNT EQUIPMENT (FAE) (your equipment)
	Force Account Equipment Record FEMA form 90-127 or equivalent (FEMA form preferred)
	Proof of equipment ownership (when equipment is in excess of \$5,000) (e.g. inventory, titles etc.)
	Proof of use of equipment (e.g. equipment usage and operator timesheets)
WORK DISAST	PERFORMED USING FORCE ACCOUNT MATERIALS (materials in your inventory) OR PURCHASED FOR THE FER
	Force Account Materials Summary Record FEMA form 90-124 or equivalent (FEMA form preferred)
	Inventory and evidence of proper procurement (when purchasing new materials)
	Load tickets: Non-debris (e.g. road construction)
	Proof of payment
RENT	ED EQUIPMENT
	Rented Equipment Record FEMA form 90-125 or equivalent (FEMA form preferred)
	Invoices/receipts and evidence of proper procurement (see Procurement section below)
	Copy of signed rental agreement









	Proof of payment (cancelled checks – banks may not be required to keep records for more than four [4] years)
WORK	PERFORMED BY CONTRACTORS
	Contract Summary Record FEMA form 90-126 or equivalent (FEMA form preferred)
	Invoices/pay applications
	Executed contract with all applicable amendments and change orders
	Contractor time sheets (for DAC reimbursement) that log employee time by eligible task by PW
	Load tickets and truck certifications required for debris contracts
	Proof of payment (cancelled checks – banks may not be required to keep records for more than four [4] years)
DEBR	IS OPERATIONS
	Pre-qualified contractor list
	Disposal permits
	Truck certification
	Load tickets
	Stump worksheet
PROC	UREMENT REQUIREMENTS - Evidence of proper procurement
	Competitive process (Quote/Request for Proposal [RFP]/Request for Qualifications [RFQ])
	Advertisement (publicize)
	Responses to RFP/RFQ
	Selection process (scoring sheets, bid tabulations, etc.)
	Cost analysis (when required)
	State Contract (when used, include unit price and other relevant detail)
	Il 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 §225.
	ate nonprofits (PNPs) are required to follow: 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. cational institutions are required to follow 44 CFR §13.36 and 2 CFR §220.
Edu	Aduntal modulations are required to follow 44 of it \$15.50 and 2 of it \$220.

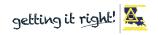
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Additional Requirements for Hazard Mitigation (HM) Site Visit Documentation Requirements Checklist

ADDITI	ONAL DOCUMENTATION REQUIREMENTS FOR HM PROJECTS	
	: 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. ay not be required to keep their records for more than four (4) years. Check with your bank to determine its retention schedule.	
	Invoices and cancelled checks	
	Copies of all Quarterly Reports within the project performance period	
	Proof of subgrantee match (e.g. invoices, receipts, volunteer timesheets, proof of labor rates, etc. that are charges related to the project)	
	Signed Duplication of Benefits (DOB) form (form required)	
	Documentation that bid guidelines were followed for construction and consulting contracts (see below categories for specific items)	
	Documentation of scope changes	
PROP	ERTY INFORMATION	,
	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)	
PROC	UREMENT REQUIREMENTS - Evidence of proper procurement	
	Invoices	
	Competitive process (Quote/Request for Proposal [RFP]/Request for Qualifications [RFQ])	
	Proposals (with price for Project Management [PM] and construction)	
	Selection process (scoring sheets, bid tabulations, etc.)	
	Advertisement (publicize)	
	Responses to RFP/RFQ	
	Cost analysis must be provided with architect/engineer (A/E) RFQ	
	Cost analysis (when required)	,







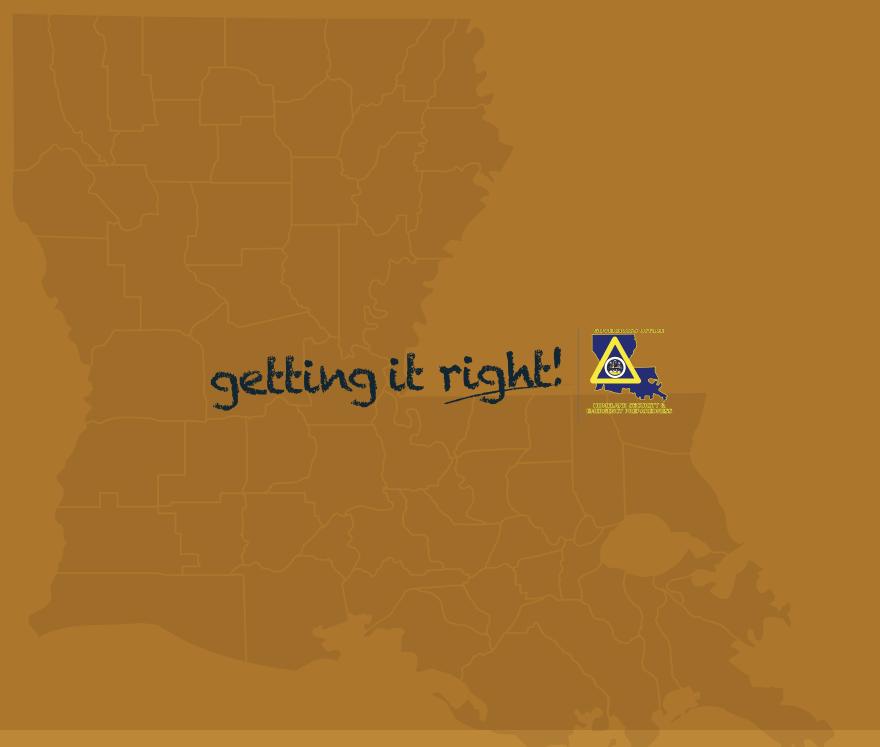


	Executed contract with all applicable amendments and change orders
	Proof of payment (cancelled checks – banks may not be required to keep records for more than four [4] years)
PROJ	ECT MANAGEMENT
	Time and task broken down by project (e.g. timesheets, invoices)
	Line item cost breakdown
	Signed contract, amendments, work orders, etc. (if applicable) (see Procurement requirements)
	Cost analysis (if applicable) (see Procurement requirements)
ADDITI	ONAL DOCUMENTATION REQUIREMENTS FOR ACQUISITION
	Copy of agreement to maintain property as green space
	Proof that demolition was completed within 90 days of the property close date
	Voluntary participation agreement (VPA) (for projects that involve private property only)
	Signed Duplication of Benefits (DOB) form (form required)
ADDITI	ONAL DOCUMENTATION REQUIREMENTS FOR ELEVATION
	VPA (for projects that involve private property only)
	Copy of Acknowledgement of Conditions, signed and notarized
	Verification of flood insurance (declaration page required for Project Formulation, non-disaster grants and a Best Practice for Project Formulation for disaster grants)
ADDITI	ONAL DOCUMENTATION REQUIREMENTS FOR RECONSTRUCTION
	VPA (for projects that involve private property only)
	Verification of flood insurance (declaration page required for Project Formulation, non-disaster grants and a Best Practice for Project Formulation for disaster grants)
ADDITI	ONAL DOCUMENTATION REQUIREMENTS FOR DRAINAGE
	VPA (for projects that involve private property only) (if applicable)
	Engineers certification (Code of Compliance)

	VPA (for projects that involve private property only) (if applicable)
.	Confirm no additional expenditures/upgrades were performed by PA in FEMA (DOB)
EMS	TO BE REVIEWED FOR ACCURACY
	Properties mitigated must match properties in the original scope of work (SOW) or have approval from FEMA prior to mitigation
	Mitigation measures performed on properties match mitigation measures in the approved SOW
	Review DOB at end of project (form required)
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