

# General Documentation Requirements for Site Visits

★ 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 Subrecipient
<input type="checkbox"/>	Subrecipient monitoring documentation (to ensure Subrecipient is following requirements)
<input type="checkbox"/>	<i>Reimbursement Request Form</i> (RRF) for Public Assistance (PA) funds (required to initiate a request to GOHSEP for payment)
<input type="checkbox"/>	GOHSEP/Subrecipient <i>Memorandum of Understanding</i> (MOU) (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 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"> <li>• Code of Ethics (that give conduct to avoid conflicts of interest)</li> </ul>
<input type="checkbox"/>	<ul style="list-style-type: none"> <li>• Procurement</li> </ul>
<input type="checkbox"/>	<ul style="list-style-type: none"> <li>• Expenditure cycle (accounts payable procedures)</li> </ul>
<input type="checkbox"/>	<ul style="list-style-type: none"> <li>• Employee time and attendance</li> </ul>
<input type="checkbox"/>	<ul style="list-style-type: none"> <li>• Records retention</li> </ul>
<input type="checkbox"/>	<ul style="list-style-type: none"> <li>• Asset and inventory management</li> </ul>
<input type="checkbox"/>	<ul style="list-style-type: none"> <li>• Methodology to manage assets and inventory</li> </ul>

GETTING READY FOR YOUR SITE VISIT: GENERAL DOCUMENTATION REQUIREMENTS

getting it right!



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# 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)
<b>WORK PERFORMED BY CONTRACTORS</b>	
<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)
<b>DEBRIS OPERATIONS</b>	
<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
<b>PROCUREMENT REQUIREMENTS - Evidence of proper procurement</b>	
<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)
<b>ALL SUBRECIPIENTS (APPLICANTS) MUST FOLLOW 2 CFR §200.317 – .342 AND THE COST PRINCIPLES ARTICULATED IN 2 CFR §200.400 – .475</b>	



T H I S P A G E I N T E N T I O N A L L Y L E F T B L A N K

# 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 Subrecipient 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</i> (DOB) form (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 Hazard Mitigation Grant Program [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"> <li>• Proposals (with price for Project Management [PM] and construction)</li> </ul>
<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"> <li>• Cost analysis must be provided with architect/engineer (A/E) RFQ</li> </ul>
<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)
<b>PROJECT MANAGEMENT</b>	
<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"> <li>• Cost analysis (if applicable) (see Procurement requirements)</li> </ul>
<b>ADDITIONAL DOCUMENTATION REQUIREMENTS FOR ACQUISITION</b>	
<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</i> (DOB) form (form required)
<b>ADDITIONAL DOCUMENTATION REQUIREMENTS FOR ELEVATION</b>	
<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)
<b>ADDITIONAL DOCUMENTATION REQUIREMENTS FOR RECONSTRUCTION</b>	
<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)
<b>ADDITIONAL DOCUMENTATION REQUIREMENTS FOR DRAINAGE</b>	
<input type="checkbox"/>	VPA (for projects that involve private property only) (if applicable)
<input type="checkbox"/>	<ul style="list-style-type: none"> <li>• Engineers certification (<i>Code of Compliance</i>)</li> </ul>





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