

Documentation Requirements Checklists

Public Assistance (PA)

Hazard Mitigation (HM)

Getting Ready For Your Site Visit (Monitoring)

AS OF JUNE 2014

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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 Code of Federal Regulations [CFR]* that corresponds with your declaration date.)

2 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/hazard-mitigation-grant-program

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

Hazard Mitigation Assistance (HMA) Unified Guidance - FEMA/ July 12, 2013:
fema.gov/media-library/assets/documents/33634

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

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

Acronyms

Documentation Requirements Checklists

Architect/Engineer
 Clean Air Act
 Categorical Exclusion
 Comprehensive Environmental, Response,
 Compensation and Liability Act
 Code of Federal Regulations
 Clean Water Act
 Coastal Zone Management Act
 Direct Administrative Cost
 Disaster Assistance Policy
 Duplication of Benefits
 Dun & Bradstreet
 Environmental and Historic Preservation
 Endangered Species Act
 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
 Hazard Mitigation Plan
 U.S. Department of Housing and Urban Development
 Individual Assistance
 International Building Code
 Insurance Commissioner's Certification
 Increased Cost of Compliance
 LouisianaPA.com
 Letter of Intent
 Mutual Aid Agreement
 Memorandum of Understanding
 National Emergency Management Information System
 National Environmental Policy Act
 National Flood Insurance Program
 National Historic Preservation Act
 Obtain and Maintain
 Office of Management and Budget
 Public Assistance
 Project Management
 Private nonprofit

A/E
 CAA
 CATEX

 CERCLA
 CFR
 CWA
 CZMA
 DAC
 DAP
 DOB
 D-U-N-S
 EHP
 ESA
 FAC
 FAE
 FAL
 FEMA
 GL
 GOHSEP
 H & H
 HM
 HMA
 HMGP
 HMP
 HUD
 IA
 IBC
 ICC
 ICC
 LAPA
 LOI
 MAA
 MOU
 NEMIS
 NEPA
 NFIP
 NHPA
 O & M
 OMB
 PA
 PM
 PNP

Project Worksheet
Resource Conservation and Recovery Act
Request for Proposal
Request for Qualifications
Rivers and Harbors Act
Road Home Compensation
Road Home Elevation Incentive
Repetitive Loss
Request for Public Assistance
Reimbursement Request Form
Scope of Work
Severe Repetitive Loss
System for Award Management
Standard Form
Special Flood Hazard Area
Voluntary Participation Agreement

PW
RCRA
RFP
RFQ
RHA
RHComp
RHEI
RL
RPA
RRF
SOW
SRL
SAM.gov
SF
SFHA
VPA

GOHSEP Disaster Recovery (DR) Contacts

Documentation Requirements Checklists

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Public Assistance (PA)

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PUBLIC ASSISTANCE (PA)

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Public Assistance (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 Code of Federal Regulations (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</i> (ICC) (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, page 33</i>

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

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

★	Materials and supplies inventory	<i>Public Assistance Policy Digest - FEMA 321/January 2008, page 48</i>
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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 Code of Federal Regulations (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"/>	Articles of incorporation, charter or by-laws as applicable	FEMA requirement
<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)	FEMA 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

Public Assistance (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 Code of Federal Regulations (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 Disaster Assistance Policy (DAP) 9525.3
<input type="checkbox"/>	<i>Insurance Commissioner's Certification</i> (ICC) (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)

<input type="checkbox"/>	<i>Force Account Labor Record</i> FEMA form 90-123 or equivalent <small>(FEMA form preferred)</small>	44 CFR §206.221(b) and §206.228(a)(2) FEMA form 90-123, October 2012
<input type="checkbox"/>	<u>Pre-existing overtime policy</u>	<i>Public Assistance Guide - FEMA 322/June 2007</i> , pages 44-45 and RP 9525.7, VII(c)
★	Timekeeping documentation <small>(for all work other than Direct Administrative Cost [DAC])</small> 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 <small>(Applicant's Benefits Calculation Worksheet FEMA form 90-128)</small> <small>(FEMA form preferred)</small>	<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, pages 48-49</i>
WORK PERFORMED USING FORCE ACCOUNT MATERIALS (materials in your inventory) 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"/>	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, page 84</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 (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 PW	DAP 9525.9
DEBRIS OPERATIONS		<i>Debris Management Guide - FEMA 325/July 2007 and 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, pages 19-20</i>
<input type="checkbox"/>	Load tickets (if available)	<i>Debris Monitoring Guide - FEMA 327/October 2010, page 19</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

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Public Assistance (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 Code of Federal Regulations (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 overtime policy	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) (your equipment)		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 Public Assistance Guide - FEMA 322/June 2007, page 48
★	Proof of equipment ownership	44 CFR §13.20(b)(6) and §13.32
WORK PERFORMED USING FORCE ACCOUNT MATERIALS (materials in your inventory) OR PURCHASED FOR THE DISASTER		Public Assistance Guide - FEMA 322/June 2007, 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"/>	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	Public Assistance Guide - FEMA 322/June 2007, page 48
RENTED EQUIPMENT		Public Assistance Policy Digest - FEMA 321/January 2008, 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
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 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 (for DAC reimbursement) that log employee time by eligible DAC tasks by 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 Debris Management Guide - FEMA 325/July 2007, page 109
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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Public Assistance (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 Code of Federal Regulations (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</i> (ICC) (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"/>	<i>Force Account Labor Record</i> 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"/>	<u>Pre-existing overtime policy</u>	<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) (your equipment)		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>
<input type="checkbox"/>	Proof of equipment ownership	44 CFR §13.20(b)(6) and §13.32
WORK PERFORMED USING FORCE ACCOUNT MATERIALS (materials in your inventory) 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 (for DAC reimbursement) that log employee time by eligible DAC tasks by 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 <i>FEMA Recovery Fact Sheet 9580.212</i>
<input type="checkbox"/>	Selection process (scoring sheets, bid tabulations, etc.)	44 CFR §13.36(d)(3)(iii)

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Hazard Mitigation (HM)

Documentation Requirements Checklists

Pre-application

Hazard Mitigation Assistance (HMA)
Application Development

Payment

Closeout

getting it right!





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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 Hazard Mitigation (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 Code of Federal Regulations (CFR) §13.42(b)(1) and (c)(1) and *HMA Unified Guidance – July 12, 2013 – Part VII, D.2, page 68*

GENERAL DOCUMENTATION REQUIREMENTS

Non-disaster HMA application

<input type="checkbox"/>	To apply for non-disaster HMA, Applicants must use the FEMA web-based eGrants system	HMA Unified Guidance – July 12, 2013 – Part V, B, page 38 and IS-32: Mitigation eGrants Internal System
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HMGP application

<input type="checkbox"/>	HMGP: <i>GOHSEP Hazard Mitigation Grant Program (HMGP) Project Application (form required)</i>	44 CFR §206.436(c)
<input type="checkbox"/>	• <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"/>	• <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"/>	• <i>Funds commitment letter (assurance that you can meet the match)</i>	<i>National Emergency Management Information System (NEMIS) Requirement</i>
<input type="checkbox"/>	• <i>Consultation letters of no objection (letters sent to other Federal agencies to ensure no impact)</i>	<i>HMA Unified Guidance – July 12, 2013 – Part V, K, page 51</i>
<input type="checkbox"/>	• <i>Duplication of benefits (DOB) disclosure</i>	<i>HMA Unified Guidance – July 12, 2013 – Part IV, C.4, page 21</i>
<input type="checkbox"/>	• <i>Itemized and detailed budget (include Project Management [PM] as a line item)</i>	<i>HMA Unified Guidance – July 12, 2013 – Part V, H.5, page 46</i>
<input type="checkbox"/>	• <i>Voluntary participation agreement (VPA) (for projects that involve private property only)</i>	44 CFR 80.13(a)(4)
<input type="checkbox"/>	• <i>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>	<i>HMA Unified Guidance – July 12, 2013 – Part V, H.1, page 43–44</i>

Hazard Mitigation (HM) Payment Checklist

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 final project closeout in the associated 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 Code of Federal Regulations (CFR) §13.42(b)(1) and (c)(1) and Hazard Mitigation Assistance (HMA) Unified Guidance – July 12, 2013 – Part VII, D.2, page 68

FINANCIAL PACKAGING – APPLICANT TO PROVIDE

<input type="checkbox"/>	Applicant payment request (reimbursement request form with appropriate attachments)	GOHSEP requirement
<input type="checkbox"/>	Applicant advance request letter to GOHSEP (advances only)	GOHSEP requirement
<input type="checkbox"/>	Supporting Documentation (e.g., invoices, proof of payment, receipts, volunteer timesheets, proof of labor rates, etc. that are charges related to the project)	44 CFR §13.20(b)(6)
<input type="checkbox"/>	Photos of backup documentation to support requested work/invoice/payment	44 CFR §13.40 and HMA Unified Guidance – July 12, 2013 – Part V, H.1.1 page 44
<input type="checkbox"/>	Duplication of Benefits (DOB) Check: National Flood Insurance Program (NFIP)/Road Home Compensation (RHComp)/Insurance Commissioner's Certification (ICC)/Road Home Elevation Insurance (RHEI)/Individual Assistance (IA) (if applicable)	44 CFR §13.40 and HMA Unified Guidance – July 12, 2013 – Part IV, C.4 page 21

GENERAL DOCUMENTATION REQUIREMENTS

Included in file prior to first payment (reimbursement or advance) or as necessary

<input type="checkbox"/>	Quarterly Report (up-to-date)	44 CFR §13.40 and HMA Unified Guidance – July 12, 2013 – Part VII, C.1, page 65
<input type="checkbox"/>	Permits (if applicable)	HMA Unified Guidance – July 12, 2013 – Part VII, D.1, page 67
<input type="checkbox"/>	Material Specifications (if applicable)	Addendum to the HMA Unified Guidance – July 12, 2013 – D.4.3 page 72
<input type="checkbox"/>	Photos (at applicable stage of project or as necessary) Examples: photo of all four sides of structure and include all existing stairs, landings, desks, patios, carports, garages, driveways, A/C unit, gas lines/meter, electrical lines, piping, lifts, roof/window/doors/screens, etc.	HMA Unified Guidance – July 12, 2013 – Part V, H.1.1, page 44
<input type="checkbox"/>	Final photos	HMA Unified Guidance – July 12, 2013 – Part V, H.1.1, page 44

ADDITIONAL DOCUMENTATION REQUIREMENTS FOR PROCUREMENT		
Included in file prior to first payment (reimbursement or advance) or as necessary		
<input type="checkbox"/>	Advertisement (publicize)	44 CFR §13.36(d)(3)(i)
<input type="checkbox"/>	Competitive process – <ul style="list-style-type: none"> • Request for Proposals (RFP) (Project Manager [PM] and Construction) • Request for Qualifications (RFQ) (A&E services only) 	44 CFR §13.36(b)(9), §13.36 (c) and §13.36(d)(3)
<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, quotes, etc.)	44 CFR §13.36(d)(3)(iii)
<input type="checkbox"/>	Cost analysis (required for sole source or to show cost reasonableness)	44 CFR §13.36(f)(1)
<input type="checkbox"/>	Signed and executed contract with all applicable amendments and change orders (must include line item and cost breakdown) (NOTE: ineligible contract types – cost plus a percentage cost, percentage of construction cost, piggyback, contingency)	44 CFR §13.20(b)(6) and §13.30
<input type="checkbox"/>	Contractors license (if applicable)	Addendum to the HMA Unified Guidance – July 12, 2013 – D.7, page 76
ADDITIONAL DOCUMENTATION REQUIREMENTS FOR ACQUISITION		Addendum to the HMA Unified Guidance – July 12, 2013 – A., page 2
<input type="checkbox"/>	Appraisal	Addendum to the HMA Unified Guidance – July 12, 2013 – A.11.2, page 16
<input type="checkbox"/>	Closing documentation: title work, closing cost, signed HUD statement/cash sale (if applicable)	44 CFR §80.17(b) and Addendum to the HMA Unified Guidance – 2013 – A.9, page 14
<input type="checkbox"/>	Asbestos testing quotes/certificate (if applicable)	Addendum to the HMA Unified Guidance – July 12, 2013 – A.7., page 11
<input type="checkbox"/>	Final photos after demolition *Required for final payment with demo invoices	Addendum to the HMA Unified Guidance – July 12, 2013 – A.9., page 14
★	Recorded deed restriction *Required for closeout, recommended for reimbursement	44 CFR §80.21 and Addendum to the HMA Unified Guidance – July 12, 2013 – A.4.3., page 6
★	NFIP Repetitive Loss Update Worksheet FEMA form AW-501 for all Repetitive Loss (RL) and Severe Repetitive Loss (SRL) properties included in the project *Required for closeout	HMA Unified Guidance – July 12, 2013 – Part VII, D.2.1, page 69
ADDITIONAL DOCUMENTATION REQUIREMENTS FOR ELEVATION		Addendum to the HMA Unified Guidance – July 12, 2013 – E., page 77
<input type="checkbox"/>	Initial elevation certificate (residential structures) *Required prior to first payment	NFIP Elevation Certificate – FEMA form 81-31, Addendum to the HMA Unified Guidance – July 12, 2013 – E.4, page 83 and X.E., page 119
<input type="checkbox"/>	Medical documentation and photos regarding lifts, elevators, ramps, etc. (if applicable) *Required prior to first payment	Addendum to the HMA Unified Guidance – July 12, 2013 – E.3, page 82
<input type="checkbox"/>	Certification/drawings/plans with dimensions and square foot, signed and stamped by a building official or licensed designed professional or approved method to verify square footage	Addendum to the HMA Unified Guidance – July 12, 2013 – D.9, page 77 and D.4.2 page 72
<input type="checkbox"/>	Displacement documentation to include length of time out of home and proof of payment (rent lease, rent receipts, lodging receipts, etc.) (if applicable)	44 CFR §80.17(c)(5) and Addendum to the HMA Unified Guidance – July 12, 2013 – E.3.1, page 81

<input type="checkbox"/>	Soil bore or similar test (if applicable)	<i>Addendum to the HMA Unified Guidance – July 12, 2013 – C.3.4., page 54</i>
<input type="checkbox"/>	Certificate of Occupancy or Certificate of Completion (required for final payment)	<i>Addendum to the HMA Unified Guidance – July 12, 2013 – D.4.8., page 73</i>
<input type="checkbox"/>	Termite certificate (if applicable)	GOHSEP requirement
<input type="checkbox"/>	Asbestos testing quotes/certificate (if applicable)	<i>Addendum to the HMA Unified Guidance – July 12, 2013 – E.3.1., page 82</i>
<input type="checkbox"/>	Final elevation certificate (residential structures) <i>*Required at final payment</i>	<i>NFIP Elevation Certificate – FEMA form 81-31, March 2009 and Addendum to the HMA Unified Guidance – July 12, 2013 – D.4.8., page 73</i>
★	Verification for flood insurance <i>*Required for closeout, recommended for reimbursement</i>	<i>Addendum to the HMA Unified Guidance – July 12, 2013 – E.6., page 84</i>
★	NFIP Repetitive Loss Update Worksheet FEMA form AW-501 for all RL and SRL properties included in the project <i>*Required for closeout</i>	<i>Addendum to the HMA Unified Guidance – July 12, 2013 – D.2.1., page 69</i>
★	Recorded deed restriction <i>*Required for closeout, recommended for reimbursement</i>	<i>Addendum to the HMA Unified Guidance – July 12, 2013 – E.6., page 85</i>
★	Building permit	GOHSEP requirement
ADDITIONAL DOCUMENTATION REQUIREMENTS FOR RECONSTRUCTION		<i>HMGP Reconstruction Grant Pilot for Hurricanes Katrina, Rita, and Wilma: Guidance and Instructions for Developing Unit Cost Estimates – February 6, 2012 and Addendum to the HMA Unified Guidance – July 12, 2013 – D., page 65</i>
<input type="checkbox"/>	Medical documentation and photos regarding lifts, elevators, ramps, etc. (if applicable) <i>*Required prior to first payment</i>	<i>Addendum to the HMA Unified Guidance – July 12, 2013 – E.3.1., page 82</i>
<input type="checkbox"/>	Certification/drawings/plans with dimensions and square foot, signed and stamped by a building official or licensed designed professional (Verifying the structure was designed and constructed to the minimum standard of the 2006 <i>International Building Code</i> [IBC]) or approved method to verify square footage	<i>Addendum to the HMA Unified Guidance – 2013 – D.4.2., page 72</i>
<input type="checkbox"/>	Displacement documentation to include length of time out of home and proof of payment (rent lease, rent receipts, lodging receipts, etc.) (if applicable)	<i>Addendum to the HMA Unified Guidance – July 12, 2013 – E.3.1., page 81 and 44 CFR §80.17(c)(5)</i>
<input type="checkbox"/>	Soil bore or similar test (if applicable)	<i>Addendum to the HMA Unified Guidance – July 12, 2013 – C.3.4., page 54</i>
<input type="checkbox"/>	Termite certificate (if applicable)	GOHSEP requirement
<input type="checkbox"/>	Asbestos testing quotes/certificate (if applicable)	<i>Addendum to the HMA Unified Guidance – July 12, 2013 – D.2.1., page 67</i>
<input type="checkbox"/>	Certificate of Occupancy OR Certificate of Completion <i>*Required for final payment</i>	<i>Addendum to the HMA Unified Guidance – July 12, 2013 – D.8., page 76</i>
<input type="checkbox"/>	Final elevation certificate (residential structures) <i>*Required for final payment</i>	<i>NFIP Elevation Certificate – FEMA form 81-31, Addendum to the HMA Unified Guidance – 2013 – D.9., page 78</i>

★	Verification for flood insurance *Required for closeout, recommended for reimbursement	Addendum to the HMA Unified Guidance – July 12, 2013 – D.9., page 78
★	NFIP Repetitive Loss Update Worksheet FEMA form AW-501 for all Repetitive Loss (RL) and Severe Repetitive Loss (SRL) properties included in the project *Required for closeout	HMA Unified Guidance – July 12, 2013 – Part VII, D.2.1, page 69
★	Recorded deed restriction *Required for closeout, recommended for reimbursement	44 CFR §80.21 and Addendum to the HMA Unified Guidance – July 12, 2013 – D.9., page 78
★	Building permit	GOHSEP requirement
ADDITIONAL DOCUMENTATION REQUIREMENTS FOR DRAINAGE		
<input type="checkbox"/>	Hydraulic and Hydrology Study *Required for final payment of phase 1	HMA Unified Guidance – July 12, 2013 – Part IX, A.10.2, page 83
<input type="checkbox"/>	Certification/drawings/plan signed and stamped by a building official or licensed design professional *Required for final payment of phase 1	Addendum to the HMA Unified Guidance – July 12, 2013 – D.4.2, page 72
<input type="checkbox"/>	Engineers certification – Code of Compliance *Required for final payment	HMA Unified Guidance – July 12, 2013 – Part Part IV, D.4., page 32
ADDITIONAL DOCUMENTATION REQUIREMENTS FOR RETROFIT		
<input type="checkbox"/>	Certification/drawings/plan signed and stamped by a building official or licensed design professional (if applicable) *Required for final payment of phase 1	Addendum to the HMA Unified Guidance – July 12, 2013 – D.4.2, page 72
ADDITIONAL DOCUMENTATION REQUIREMENTS FOR SAFE ROOMS		
<input type="checkbox"/>	Certification/drawings/plan signed and stamped by a building official or licensed design professional *Required for final payment of phase 1	Addendum to the HMA Unified Guidance – July 12, 2013 – C.
<input type="checkbox"/>	FEMA 361: Substantial Completion Certificate	Design and Construction Guidance for Community Safe Rooms – Second Edition – FEMA 361/August 2008, pages B33-B35
★	Final operation and maintenance plan *Required for closeout, recommended for final payment	Addendum to the HMA Unified Guidance – July 12, 2013 – D.4.2, page 72

Notes

Hazard Mitigation (HM) Closeout

File Completeness 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 final project closeout in the associated 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 Code of Federal Regulations (CFR) §13.42(b)(1) and (c)(1) and Hazard Mitigation Assistance (HMA) Unified Guidance – July 12, 2013 – Part VII, D.2, page 68

DOCUMENTATION REQUIRED FOR CLOSEOUT

<input type="checkbox"/>	Applicant Closeout Request (Certified in LouisianaHM.com [LAHM])	GOHSEP requirement and HMA Unified Guidance – July 12, 2013 – Part VII, D.1, Page 67
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GENERAL DOCUMENTATION REQUIREMENTS BY FINAL PAYMENT

<input type="checkbox"/>	Hazard Mitigation Assistance (HMA) Project Application	44 CFR §206.436(c) and HMA Unified Guidance – July 12, 2013 – Part V, B, Page 38 and IS-32: Mitigation eGrants Internal System
<input type="checkbox"/>	<ul style="list-style-type: none"> • 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
<input type="checkbox"/>	<ul style="list-style-type: none"> • 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
<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) 	HMA Unified Guidance – July 12, 2013 – Part V, K, Page 52
<input type="checkbox"/>	Approval letter from FEMA	44 CFR §206.436(f)
<input type="checkbox"/>	<ul style="list-style-type: none"> • Documentation of original performance period as well as any project extensions 	44 CFR §206.436(e)
<input type="checkbox"/>	Award notification letter from GOHSEP to subgrantee	HMA Unified Guidance – July 12, 2013 – Part VII, A, Page 61
<input type="checkbox"/>	GOHSEP/Applicant subgrantee agreement	HMA Unified Guidance – July 12, 2013 – Part VII, A, Page 61
<input type="checkbox"/>	Applicant payment request (reimbursement request form with appropriate attachments)	GOHSEP requirement
<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"/>	Documentation of scope and/or budget changes	HMA Unified Guidance – July 12, 2013 – Part VII, B.1, Page 62

HAZARD MITIGATION (HM): CLOSEOUT

<input type="checkbox"/>	Supporting Documentation (e.g., invoices, proof of payment, receipts, volunteer timesheets, proof of labor rates, etc. that are charges related to the project)	44 CFR §13.20(b)(6)
<input type="checkbox"/>	Proof of environmental and historical reviews	<i>HMA Unified Guidance</i> – July 12, 2013 – Part VI, A.4, Page 54
<input type="checkbox"/>	Duplication of benefits (DOB) check	<i>HMA Unified Guidance</i> – July 12, 2013 – Part IV, C.4, Page 21
<input type="checkbox"/>	Itemized and detailed budget (include Project Management [PM] as a line item)	<i>HMA Unified Guidance</i> – July 12, 2013 – Part V, H.5.1–3, Pages 46–48
<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 Hazard Mitigation Grant Program [HMGP] application)	<i>HMA Unified Guidance</i> – July 12, 2013 – Part V, H.1, Page 43
<input type="checkbox"/>	Certification by engineer, floodplain manager, or senior local official that the completed structure(s) is in compliance with, the approved scope of work, local ordinances and NFIP regulations and technical bulletins.	FEMA requirement
<input type="checkbox"/>	Final Quarterly Report	44 CFR §13.40 and <i>HMA Unified Guidance</i> – July 12, 2013 – Part VII, D.1, Page 67

Special conditions identified during the HMA Application Environmental and Historic Preservation (EHP) review by FEMA, and articulated in the FEMA approval letter, are required to be met before Closeout is complete. Work done on property that has not been EHP-cleared by FEMA is at risk for de-obligation.

ADDITIONAL DOCUMENTATION REQUIREMENTS FOR PROCUREMENT

Included in file prior to first payment (reimbursement or advance) or as necessary

<input type="checkbox"/>	Advertisement (publicize)	44 CFR §13.36(d)(3)(i)
<input type="checkbox"/>	Competitive process – <ul style="list-style-type: none"> • Request for Proposals (RFP) (PM and Construction) • Request for Qualifications (RFQ) (A&E services only) 	44 CFR §13.36(b)(9), §13.36 (c) and §13.36(d)(3)
<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, quotes, etc.)	44 CFR §13.36(d)(3)(iii)
<input type="checkbox"/>	Cost analysis (required for sole source or to show cost reasonableness)	44 CFR §13.36(f)(1)
<input type="checkbox"/>	Signed and Executed contract with all applicable amendments and change orders (must include line item and cost breakdown) (NOTE: ineligible contract types – cost plus a percentage cost, percentage of construction cost, piggyback, contingency)	44 CFR §13.20(b)(6) and §13.30
<input type="checkbox"/>	Contractors license (if applicable)	<i>Addendum to the HMA Unified Guidance</i> – July 12, 2013 – D.7, page 76

ADDITIONAL DOCUMENTATION REQUIREMENTS FOR PLANNING

<input type="checkbox"/>	Plan Approval Letter	GOHSEP and FEMA requirement
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ADDITIONAL DOCUMENTATION REQUIREMENTS FOR ACQUISITION		44 CFR §80 and <i>Addendum to the HMA Unified Guidance</i> – July 12, 2013 – A., page 2
<input type="checkbox"/>	National Flood Insurance Program (NFIP) Repetitive Loss Update Worksheet FEMA form AW-501 (for all RL and SRL properties included in the project) (form required)	<i>HMA Unified Guidance</i> – July 12, 2013 – Part VII, D.2.1, Page 69
<input type="checkbox"/>	Appraisal	<i>Addendum to the HMA Unified Guidance</i> – July 12, 2013 – A.11.2, page 16
<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)	<i>Addendum to the HMA Unified Guidance</i> – July 12, 2013 – E.3.1., page 81
<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 RL and SRL properties included in the project) (form required)	<i>HMA Unified Guidance</i> – July 12, 2013 – Part VII, D.2.1, Page 69
<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	<i>NFIP Elevation Certificate</i> – FEMA form 81-31, March 2009 and <i>Addendum to the HMA Unified Guidance</i> – July 12, 2013 – D.9., page 78
<input type="checkbox"/>	Final elevation certificate (proof that the structure was elevated to the height stated in the original scope of work)	<i>NFIP Elevation Certificate</i> – FEMA form 81-31, March 2009 and <i>Addendum to the HMA Unified Guidance</i> – July 12, 2013 – D.9., page 78
<input type="checkbox"/>	Displacement documentation (tenant has to move during a project temporarily) (if applicable)	<i>Addendum to the HMA Unified Guidance</i> – July 12, 2013 – E.3.1., page 81
<input type="checkbox"/>	Termite contract (if applicable)	GOHSEP requirement
<input type="checkbox"/>	Certificate of occupancy	<i>Addendum to the HMA Unified Guidance</i> – July 12, 2013 – D.8., page 76
<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)	<i>Addendum to the HMA Unified Guidance</i> – July 12, 2013 – E.6., page 84
<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 <i>International Building Code</i> [IBC])	<i>Addendum to the HMA Unified Guidance</i> – July 12, 2013 – D.4.2., page 72
<input type="checkbox"/>	Recorded deed	GOHSEP and FEMA requirement

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	<i>HMA Unified Guidance – July 12, 2013 – Part IX, A.10.2, page 83</i>
<input type="checkbox"/>	Certification/drawings/plan signed and stamped by a building official or licensed design professional <i>*Required for final payment of phase 1</i>	<i>Addendum to the HMA Unified Guidance – July 12, 2013 – D.4.2, page 72</i>
<input type="checkbox"/>	<ul style="list-style-type: none"> Engineers certification (<i>Code of Compliance</i>) 	<i>HMA Unified Guidance – July 12, 2013 – Part IV, D.4., page 32</i>
<input type="checkbox"/>	LOMR documentation (if map revision was required)	FEMA requirement
ADDITIONAL DOCUMENTATION REQUIREMENTS FOR RETROFIT		
<input type="checkbox"/>	Certification/drawings/plan signed and stamped by a building official or licensed design professional (if applicable) <i>*Required for final payment of phase 1</i>	<i>Addendum to the HMA Unified Guidance – July 12, 2013 – D.4.2, page 72</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 – July 12, 2013 – Part 1, B.1, page 8</i>
<input type="checkbox"/>	Final operation and maintenance plan	<i>Addendum to the HMA Unified Guidance – July 12, 2013 – D.4.2, page 72</i>
<input type="checkbox"/>	Signage requirements and vicinity maps of Special Flood Hazard Area (SFHA) provided (if applicable)	<i>Addendum to the HMA Unified Guidance – July 12, 2013 – C.3.9, page 64</i>
<input type="checkbox"/>	FEMA 361: Substantial Completion Certificate	<i>Design and Construction Guidance for Community Safe Rooms – Second Edition – FEMA 361/August 2008, pages B33-B35</i>

Notes

Getting Ready For Your Site Visit (Monitoring)

Documentation Requirements Checklists

Public Assistance (PA)

Hazard Mitigation (HM)

getting it right!



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</i> (RRF) for Public Assistance (PA) funds (required to initiate a request to GOHSEP for payment)
<input type="checkbox"/>	GOHSEP/Subgrantee <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"> • 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 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"> 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</i> (DOB) 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>)

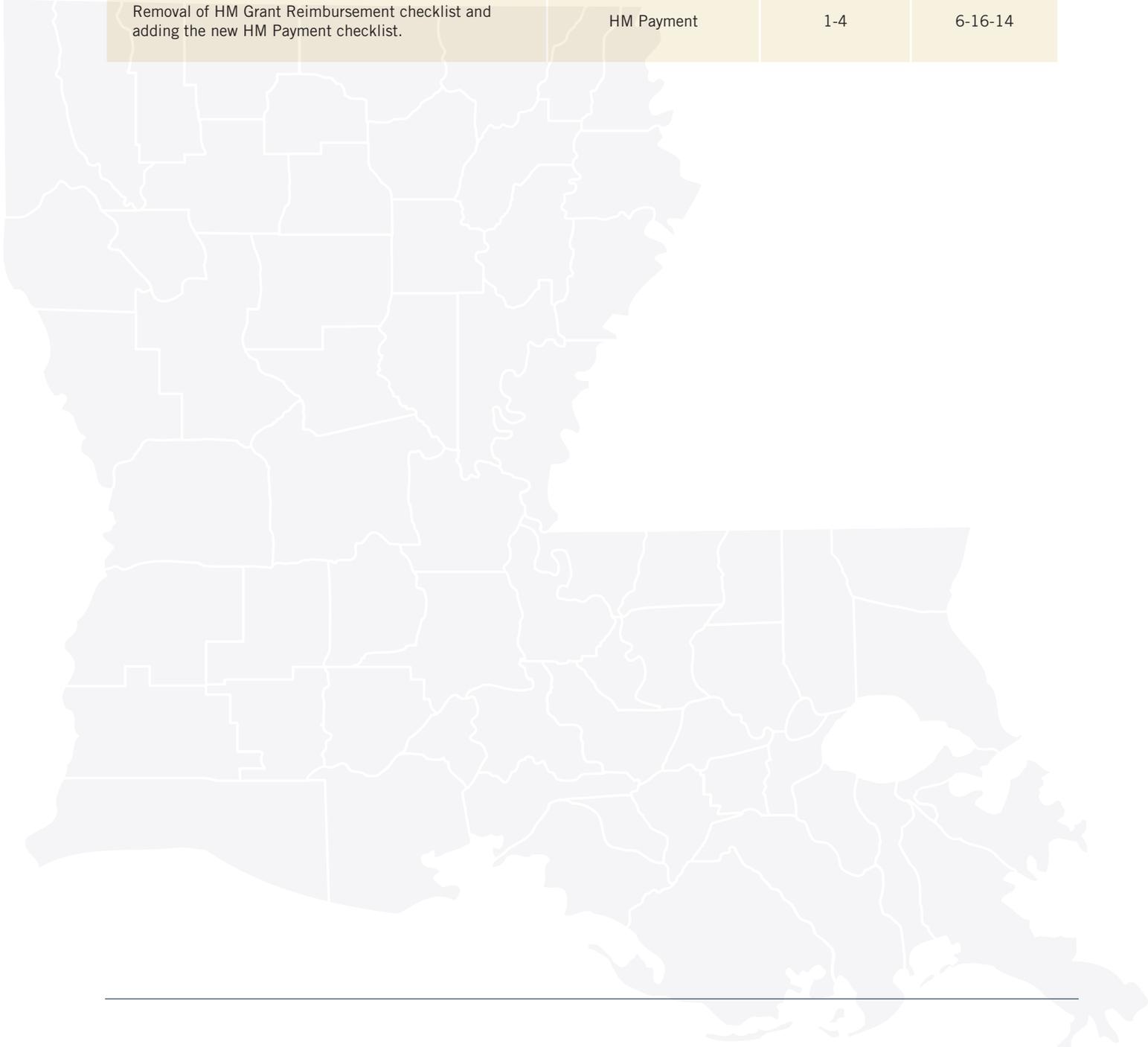
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Revisions

Documentation Requirements Checklists

REVISION	SECTION	PAGE NUMBER(s)	DATE OF REVISION
Indent 2 nd line of CERCLA entry	Acronyms	1	10-10-13
Change EHP entry to “Environmental and Historic Preservation” (NOTE: addition of “and”)	Acronyms	1	10-10-13
Contacts updated	Contacts	1 and 2	10-10-13
Add an entry that becomes the new 3 rd row under PNPs to read: Articles of incorporation, charter or by-laws as applicable Reference column: FEMA requirement	Request for Public Assistance (RPA)	1	10-10-13
Daycare license, reference column: Change “GOHSEP requirement” to “FEMA requirement”	Request for Public Assistance (RPA)	2	10-10-13
WORK PERFORMED BY FORCE ACCOUNT LABOR (FAL) (your employees), 2 nd row, change to read: “Pre-existing overtime policy”	Public Assistance (PA) Project Formulation	1	10-10-13
WORK PERFORMED BY FORCE ACCOUNT LABOR (FAL) (your employees), 3 rd row, change to read: “Pre-existing overtime policy”	PA Grant Reimbursement	1	10-10-13
WORK PERFORMED BY FORCE ACCOUNT LABOR (FAL) (your employees), 3 rd row, change to read: “Pre-existing overtime policy”	PA Closeout	1	10-10-13
Add section on Environmental and Historic Preservation (EHP) compliance.	PA Closeout	3	10-10-13
Add section on EHP compliance.	Hazard Mitigation Assistance (HMA) Application Development	2	10-10-13

REVISION	SECTION	PAGE NUMBER(S)	DATE OF REVISION
Change 2 nd line to read "... review by FEMA, and articulated in the FEMA approval letter, are required ..."	HM Closeout	1	10-10-13
Add section on EHP compliance.	HM Closeout	2	10-10-13
Removal of HM Grant Reimbursement checklist and adding the new HM Payment checklist.	HM Payment	1-4	6-16-14



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