## 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

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

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**gohsep.la.gov**

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**getagameplan.org**
- 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

Subrecipient 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

**Notes**

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

RENTED 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)

### DEBRIS OPERATIONS

- Pre-qualified contractor list
- Disposal permits
- Truck certification
- Load tickets
- Stump worksheet

### PROCUREMENT 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)*

### 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.

- Invoices and cancelled checks
- Copies of all Quarterly Reports within the project performance period
- Proof of Subrecipient 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

**PROPERTY 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 Hazard Mitigation Grant Program [HMGP] application)

**PROCUREMENT 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)
<table>
<thead>
<tr>
<th></th>
<th>Executed contract with all applicable amendments and change orders</th>
</tr>
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<tbody>
<tr>
<td></td>
<td>Proof of payment (cancelled checks – banks may not be required to keep records for more than four [4] years)</td>
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</table>

**PROJECT 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)

**ADDITIONAL 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)

**ADDITIONAL 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)

**ADDITIONAL 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)

**ADDITIONAL DOCUMENTATION REQUIREMENTS FOR DRAINAGE**

- VPA (for projects that involve private property only) (if applicable)
- Engineers certification (Code of Compliance)
<table>
<thead>
<tr>
<th>ADDITIONAL DOCUMENTATION REQUIREMENTS FOR WIND RETROFIT</th>
</tr>
</thead>
<tbody>
<tr>
<td>□ VPA (for projects that involve private property only) (if applicable)</td>
</tr>
<tr>
<td>□ Confirm no additional expenditures/upgrades were performed by PA in FEMA (DOB)</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>ITEMS TO BE REVIEWED FOR ACCURACY</th>
</tr>
</thead>
<tbody>
<tr>
<td>□ Properties mitigated must match properties in the original Scope Of Work (SOW) or have approval from FEMA prior to mitigation</td>
</tr>
<tr>
<td>□ Mitigation measures performed on properties match mitigation measures in the approved SOW</td>
</tr>
<tr>
<td>□ Review DOB at end of project <em>(form required)</em></td>
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</tbody>
</table>

Notes

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