

November 20, 2005

**Hurricanes Katrina and Rita  
FEMA-DR-1603/1607-LA  
Information Sheet #014**

**DOCUMENTATION REQUIREMENTS**

Due to the enormous magnitude of the disaster impacts and the amount of time and effort that will be required to complete recovery work, it is important that Applicants fully understand the documentation requirements necessary to successfully complete and close their applications. The following information summarizes the documentation requirements that Applicants shall comply with.

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The primary responsibility for managing approved Public Assistance (PA) projects rests with the Applicant. To ensure that those projects can be documented and closed out in a timely manner, the Applicant must collect and maintain clear and accurate records.

Accurate records will help ensure that -

- Projects are developed with the appropriate information;
- Applicant-developed small projects can be validated efficiently;
- All eligible costs are recovered; and
- State or federal audits of the Applicant's projects are performed efficiently and with a minimum of cost disallowances.

Applicants can maintain the necessary documentation in a manner of their own choosing; however, the information must be -

- Readily available;
- Assembled in a usable format; and
- Compiled by the Project Number identified on the associated Project Worksheet (PW).

It is recommended that an individual be designated to coordinate the collection and maintenance of the necessary documentation. For large Applicants, it may be more efficient to designate an individual in each department or division affected.

For ease of review during both the PW development phase and the final closeout phase, a file should be established for each approved or anticipated project. The file should include the following documents and information (as applicable to the project).

- Project Worksheet (both draft and as-approved)
- Special Considerations Questions (FEMA Form 90-120)

- Estimated and/or actual costs, with related accounting reports or records
- Force account labor and equipment used
- Rented equipment used
- Materials and supplies used
- Contract work performed (including significant history of the procurement, rationale for method of procurement, selection of contract type, contractor selection/rejection, basis for contract price, etc.)
- Insurance coverage and settlements
- Environmental and historic review documents, including alternatives for large, improved or alternate projects, as well as any other required permits
- Codes, standards and policies (both internal and external) applicable to the project
- Maintenance records or pre-disaster surveys that demonstrate project eligibility
- Hazard mitigation proposals
- Improved and Alternate Project requests
- Records of any donated goods or services (hours and description of work)
- Project schedules (these may be necessary to justify time extensions)
- Quarterly Reports describing the project's progress
- Project correspondence between the Applicant, state and federal agencies
- Maps, drawings, photographs or video documentation of damage and repairs

To assist in documentation and record keeping, FEMA provides the following summary forms that Applicants may use.

- **Force Account Labor Summary Record** (FEMA Form 90-123) -  
Used to summarize the Applicant's personnel costs. Information required includes: a clear description of work performed, employee names and job titles/classifications, dates and hours worked each week (both regular time and overtime), total hours, hourly rates, benefit rates per hour, total hourly cost and the total extended cost.
- **Force Account Equipment Summary Record** (FEMA Form 90-127)  
Used to summarize the Applicant's use of its own equipment. Information required includes: a clear description of the work performed, the type of equipment used, operator's name (must match the information on the Force Account Labor Summary Record for the same period), dates and hours the equipment was used each day, the total hours used, the equipment rate, and the total extended cost.
- **Materials Summary Record** (FEMA Form 90-124)  
Used to summarize the supplies and materials either purchased or taken from the Applicant's stock. Information required includes: a clear description of the work performed, the vendor, the description of the supplies/materials, quantity used, unit price, total extended price, date purchased, date used, whether purchased or taken from stock.
- **Rented Equipment Summary Record** (FEMA Form 90-125)  
Used to summarize the cost of equipment that the Applicant rented or leased. Information required includes: a clear description of the work performed, the type of equipment, dates and hours the equipment was used, rate per hour (with and without operator), the total extended cost, the vendor supplying the equipment, the invoice number, the date and amount paid, and the check number (or electronic payment identification number).

- **Contract Work Summary Record** (FEMA Form 90-126)  
Used to summarize the costs of work the Applicant had a contractor perform. Information required include: a clear description of the work performed, the dates worked, the contractor utilized, invoice number and amount, and comments (particularly relating to the scope of work completed).
- **Applicant's Benefits Calculation Worksheet** (FEMA Form 90-128)  
Used to calculate the benefit rates for regular time and overtime work performed by the Applicant's personnel. This information is necessary for inclusion in the Force Account Labor Summary Record.

These forms can be found on-line at [www.fema.gov/rrr/pa/appfrm1.shtm](http://www.fema.gov/rrr/pa/appfrm1.shtm). It is important to note that these forms are not required, but if used, do **not** take the place of accurate, detailed accounting records that reference readily retrievable source documentation.

Applicants are required to maintain all documentation relating to their federal disaster assistance grants for a minimum of three (3) years after receipt from the state of the final action closing their grant application. Applicants are encouraged to verify the retention period with the state prior to disposing of any pertinent records.

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In addition to the records described, the State of Louisiana requires that the following documentation accompany each Project Worksheet (PW)(as applicable).

- **Expenditure Summary Forms** – see FEMA Forms above.
- **Applicant's Overtime Certification** – memo from Chief Elected Official certifying that overtime claimed only includes eligible work and excludes sleep, stand-by, rest breaks or meal times in accordance with FEMA information Sheet #3.
- **Contract Information** – bid abstracts, price quotes, contracts (include a memo detailing extenuating circumstances for any contracts that deviate from FEMA contracting guidelines).
- **Parish/Local Official Certification** – Applicant's certification that they are knowledgeable of the FEMA Public Assistance Program, they have reviewed the attached PW, the expenditures claimed are appropriate, and that the necessary supporting records will be retained.
- **Applicant Processing Checklist** – see pages C-1&2 of the State of Louisiana's Disaster Recovery Manual (the Red Book).
- **W-9** – Request for Taxpayer Identification (*submit with first PW only*).
- **Designation of Applicant's Agent(s)** – Red Book p. 61 (*submit with first PW only*).
- **Assurances – Construction Programs** – Red Book p.87 & 88 (*submit with first PW only*).

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*Because this document is not exhaustive, either in topics or in detail, information should be verified with FEMA Public Assistance Program officials before becoming the basis for decision making.*