

# Community/Residential Safe Room Closeout Checklist

Purpose: Understand the FEMA process to successfully close out a safe room activity.

This checklist outlines required closeout documentation, the FEMA process, recipient responsibilities, and subrecipient responsibilities needed for closeout. If additional clarifications are necessary to complete closeout, provide that information in the Notes section.

## Grant Award Information

FEMA Region:		HMA Program:	
State:		Community:	
Project ID No.		FEMA Reviewer:	
Date (mm/dd/yyyy):			

## Required Closeout Documentation

### Checklist - Required Closeout Documentation

Recipient closeout request letter signed by the Governor’s Authorized Representative (GAR) or equivalent certifying:

- The project was completed as outlined in the approved scope of work (SOW)
- The reported costs were incurred in the performance of eligible work
- The approved work was completed, and the mitigation measure is compliant with the provisions of the grant agreement (for non-disaster projects) or FEMA-State Agreement (for HMGP)

Final itemized budget summary that includes the federal share disbursed, match, any federal funds to be de-obligated, and final total project cost incurred.



# FEMA

### Checklist - Required Closeout Documentation

Final inspection report (with date of inspection and name and position of inspector) signed and dated. Depending on the type, location, or complexity of the project, FEMA program staff, along with technical support, may conduct a physical or virtual site visit.

- Verify that the final inspection report includes color photographs of the completed project that are clearly labeled with the FEMA project number, subrecipient name, project address, source of color photographs, and latitude/longitude coordinates to the nearest six decimal places for comparison with the pre-mitigation photographs.

Final Progress Report.

Environmental Planning and Historic Preservation (EHP) Closeout Review:

- Include a statement in the recipient closeout request letter that states what action was taken to address each environmental condition, or explain why an action was not required.
- Submit required permits, notices, correspondence, or other relevant documentation outlined in the environmental project conditions (if applicable).

### For community safe rooms:

Vicinity map, including location of the Special Flood Hazard Area (SFHA) (if applicable).

Final Operations and Maintenance (O&M) Plan signed and dated by authorized officials for that particular community saferoom.

A written statement (included with the submittal documents as required by FEMA P-361 [2021], Section B-1.1) that the design conforms to (1) the provisions of the International Code Council's *Standard for the Design and Construction of Storm Shelters* (ICC 500), with the edition year specified, and (2) the FEMA Funding Criteria of FEMA P-361, with the edition year specified.

Where required, a signed and sealed peer review report from an independent registered design professional that complies with all peer review requirements of ICC 500 (Section 109 in ICC 500-2020) and further verifies conformance with all applicable FEMA Funding Criteria. Peer review is required for the following types of community safe rooms:

- Safe rooms with a design capacity of 50 or more occupants
- Safe rooms located in elementary schools, secondary schools, and daycare facilities with a design occupant capacity of greater than 16
- Risk Category IV buildings as defined in Table 1604.5 in the International Building Code

A written statement from the registered design professional who performed the structural observations (as required by ICC 500-2020, Section 111) that the required site visits have been made. The statement must also identify any reported deficiencies that, to the best of the design professional's knowledge, have not been resolved.

Approved change orders and a final as-built set of construction drawings (provided by the registered design professional in responsible charge) where safe room construction included field changes to the submittal documents.

### Checklist - Required Closeout Documentation

#### For residential safe rooms:

Property site inventory: A clear list of which properties were mitigated.

If in the SFHA:

- A copy of the Elevation Certificate (FEMA Form 086-0-33)
- Proof of the appropriate level of flood insurance (i.e., a copy of the current flood insurance policy)
- A copy of the deed recorded for each property, indicating compliance with FEMA’s “Acknowledgement of Conditions for Mitigation of Property in a Special Flood Hazard Area with FEMA Grant Funds” form

For prefabricated safe rooms: Approval from the Authority Having Jurisdiction of installation or a signed statement from the installer that the safe room foundation capacity (including thickness, steel reinforcement, and concrete cover) and post-installed foundation anchors (locations and capacities) meet or exceed the corresponding design information submitted in accordance with ICC 500 (Section 106.2.1 in the 2020 edition).

For site-built safe rooms: Where FEMA P-320 (2021) design plans are constructed, the professional engineer who reviews the selected plan and site conditions is required to sign and seal design plan page SRO.0, complete any missing information on page SRO.1, and provide all approved field change orders. These documents should be required for closeout as applicable.

### Notes

The following space allows for the region to include any specific notes or comments to record about this application.

## FEMA Process

### Checklist - FEMA Process

Review financial reconciliation to determine if a de-obligation is needed.

Verify there are no outstanding issues that could affect funding such as appeals.

Verify that a Duplication of Benefits search was completed to ensure that the subrecipient did not receive federal assistance for the same purpose from another source. Documents should be included in the recipient’s project files.

Verify that a Duplication of Programs search was performed to ensure that the subrecipient did not receive federal assistance for the same purpose from another source.

Verify that the SOW has been completed as approved by reviewing the closeout documentation and approved subaward application documents.

### Checklist - FEMA Process

Verify that the final inspection report includes color photographs of the completed project that are clearly labeled with the FEMA project number, subrecipient name, project address, source of color photographs, and latitude/longitude coordinates to the nearest six decimal places for comparison with the pre-mitigation photographs.

Verify that the latitude and longitude coordinates submitted at closeout are the same as the latitude and longitude coordinates approved during project award (or approved SOW changes).

Review the O&M Plan and ensure all required components are included.

- Request that the final and approved O&M Plan be signed by authorized officials and obtain a copy of the signed O&M Plan.

Review the environmental conditions in the Record of Environmental Consideration and/or Environmental Assessment to confirm conditions were met, and permits, notices, or other relevant documentation was submitted (if applicable).

- Note: The EHP team may conduct the environmental closeout review.

Verify that the final Quarterly Progress Report was submitted with the closeout request.

Request other documents as required by FEMA policies and procedures.

Ensure that the submitted data are accurate.

Verify that the subaward was updated in the system of record, i.e., eGrants, NEMIS, or FEMA GO.

Send the signed closeout approval letter notifying the recipient of successful project grant completion.

Close the safe room project in the appropriate grant system.

## Recipient Responsibilities

### Checklist - Recipient Responsibilities

Begin when notification is received from subrecipient.

Notify FEMA within the required time frame after project completion, in accordance with the Code of Federal Regulations (CFR), HMA Guidance, and agreements for the award or declaration, that the project is ready for closeout.

Ensure submitted expenses are eligible and all costs were incurred during the Period of Performance.

Resolve any negative audit findings (e.g., single, Office of Inspector General, state, or Grants Management Division).

Ensure the non-federal match is correct and documented.

Verify that all submitted costs and documentation match the approved SOW.

Obtain final financial and progress reports from subrecipients.

### Checklist - Recipient Responsibilities

For Community Safe Rooms:

- Review the final O&M Plan for compliance with FEMA safe room guidance for community safe rooms.

For Residential Safe Rooms:

- Review the property site inventory to ensure there is a clear list of which properties are included for residential safe rooms.
- Ensure proof of the appropriate level of flood insurance and a copy of the deed with mitigation conditions/deed restrictions recorded are included.

Certify that the safe room is compliant with FEMA safe room design standards according to a licensed professional engineer or registered architect.

Submit a closeout letter signed by the GAR or equivalent with a statement that the SOW has been completed as approved and/or the work complies with the award terms and conditions.

Conduct and prepare a final inspection report with the name of the inspector and date of inspection.

Confirm there are clearly labeled post-construction color photographs of the safe room(s). Examples include color photographs of the signage, access and entry points, and the supplies and equipment for the safe room.

Verify latitude and longitude coordinates of each safe room.

Prepare a vicinity map and map of the safe room(s) is in relation to the SFHA, if applicable.

Submit required closeout documentation to FEMA.

Send the subrecipient confirmation that the project has been officially closed by FEMA.

Retain documentation for a period of 3 years from the state's submission date of its final expenditure report to FEMA.

## Subrecipient Responsibilities

### Checklist - Subrecipient Responsibilities

Notify the recipient within the required time frame after project completion in accordance with CFR, HMA Guidance, and state-local agreement for the award or declaration that the project is ready for final inspection and closeout.

Certify that the SOW for the approved subaward was completed.

Ensure that all reimbursable expenses have been submitted.

Ensure that all Quarterly Progress Reports and financial reports have been submitted.

Gather all copies of permits and local inspection documentation.

For community safe rooms, develop a signed O&M Plan for the safe rooms and submit it to the recipient for review.

**Checklist - Subrecipient Responsibilities**

Certify that the safe room and other items that contribute to the operation of the safe room have been constructed to meet or exceed FEMA safe room design standards and verified by a licensed professional engineer or a registered architect. Safe rooms using FEMA mitigation grant funds must be designed and constructed to meet or exceed FEMA P-361 and P-320 guidelines as follows:

- FEMA P-361, *Safe Rooms for Tornadoes and Hurricanes: Guidance for Community and Residential Safe Rooms*, provides criteria for all safe rooms (community and residential), and includes guidance on planning, design, construction, and operation of safe rooms. It is intended for safe room designers, operators, and emergency management personnel.
- For residential, FEMA P-320, *Taking Shelter from the Storm: Building a Safe Room for Your Home or Small Business* (includes Construction Plans), provides basic safe room information and construction drawings for site-built safe rooms. It is intended for homeowners, builders, and contractors.

For community safe rooms, submit a peer review letter certifying the safe room was designed to meet or exceed FEMA design standards:

- Peer review purpose: Review the design and construction documents of the safe room to ensure it meets FEMA design standards. If issues are found in the design of the safe room, they can be addressed and resolved.
- Peer review is required for community safe rooms that can hold more than 50 occupants; those that are located in an elementary school, secondary school, or day care facility with a design occupant capacity greater than 16; and Risk Category IV buildings such as fire stations, hospitals, or police stations.
- The peer review must be completed by an independent registered design professional. It cannot be the same design professional providing the design oversight of the safe room.
- The peer reviewer will review the structural design; occupancy; means of egress, access, and accessibility; fire safety; and essential features of the safe room.

For residential safe rooms, submit an inventory of properties mitigated that includes the address, parcel number, and latitude/longitude.

For residential safe rooms, if the residential safe room is in an SFHA, the subrecipient must provide:

- Proof of the appropriate level of flood insurance.
- Copy of the recorded deed that includes a notice of flood insurance requirements as outlined in the “Acknowledgement of Conditions for Mitigation of Property in an SFHA with FEMA Grant Funds” form. Verify environmental project conditions were met and permits, notices, and other relevant documentation was submitted as outlined in the project conditions (if applicable).
- Provide copies of environmental and/or historic preservation compliance documentation if conditions were assigned to the project.

Prepare any other closeout documentation to be submitted to the recipient for review.

Verify with the Hazard Mitigation Officer what additional documentation is required for closeout.

Verify that the recipient has sent confirmation that the project has been officially closed by FEMA.

Be prepared for possible audits of the closed project.

Review and update O&M Plans on a regular basis at least every year and after every use to ensure the most current information is included in the plan.