

# Non-Residential Floodproofing Closeout Checklist

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Purpose: Understand the FEMA process to successfully close out a non-residential floodproofing activity.

Floodproofing is defined as any combination of structural or nonstructural adjustments, changes, or actions that reduce or eliminate flood damage to a building, contents, and attendant utilities and equipment. Floodproofing can prevent damage to existing buildings and can be used to meet compliance requirements for new construction of non-residential buildings.

Floodproofing measures are either passive or active, depending on whether they require human intervention. Passive measures do not require human intervention and are recommended whenever possible. Active (or emergency) measures require human intervention and are effective only if there is enough warning time to mobilize the labor and equipment necessary to implement them and to safely evacuate.

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

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



# FEMA

## 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.

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, project address, source of color photographs, and latitude/longitude coordinates to the nearest six decimal places for comparison with the pre-mitigation photographs.

Property site inventory list that includes the following:

- All the properties that were mitigated and the property owners who opted out (declined to participate)
- Full property address(es)

A certificate of occupancy from a local government agency or building department for each structure.

A letter from a licensed professional engineer, licensed professional architect, or building official verifying that the structure was designed and constructed to the minimum standard of the two most recently published editions of the International Codes, even in locations where no code has been adopted.

For floodproofing projects requiring human intervention (i.e., active flood measures), submit a final Operations and Maintenance (O&M) Plan (signed and dated).

An officially recorded copy of the property deed amendment that includes notice of flood insurance requirements for each structure (i.e., FEMA’s “Acknowledgement of Conditions for Mitigation of Property in a Special Flood Hazard Area with FEMA Grant Funds” form).

Copy of submitted NFIP Repetitive Loss Update Worksheet (Form AW-501 or equivalent) (if applicable).

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).

Final Progress Report.

## 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.
Verify that the final inspection report includes color photographs of the completed project that are clearly labeled with the FEMA project number, project address, source of color photographs, and latitude/longitude coordinates to the nearest six decimal places for comparison with the pre-mitigation photographs.
Review the property inventory list to ensure the properties that participated in the project match the properties approved in the subaward.
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).
<p>Ensure proper certifications were obtained for the structure:</p> <ul style="list-style-type: none"> <li>▪ Certificate of occupancy</li> <li>▪ Letter from a licensed professional engineer, licensed professional architect, or building official verifying that the structure was designed and constructed to the minimum standard of the two most recently published editions of the International Codes, even in locations where no code has been adopted</li> </ul>
For floodproofing projects requiring human intervention (i.e., active flood measures), verify submission of a final O&M Plan (signed and dated).
<p>Review the copy of the recorded flood insurance notice to ensure that it was recorded properly.</p> <ul style="list-style-type: none"> <li>▪ Legal counsel may be required to review recorded flood insurance notices.</li> </ul>

### Checklist - FEMA Process

Verify that the properties have a current flood insurance policy.

- FEMA staff can search existing databases like PIVOT to verify the insurance policy is current.
- Exercise caution when working with Personally Identifiable Information (PII).

Ensure NFIP Repetitive Loss Update Worksheet (Form AW-501 or equivalent) was submitted (if applicable).

- To verify whether properties were Repetitive Loss, check with the Floodplain Management and Insurance Branch or verify using the PIVOT system.

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.

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

Close the floodproofing project in the appropriate grant system.

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

## Recipient Responsibilities

### Checklist - Recipient Responsibilities

Begin closeout when notification is received from the 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.

Ensure the non-federal match is correct and documented.

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

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

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

Submit clearly labeled color photographs of the completed floodproofing project.

Verify latitude and longitude coordinates for each structure.

### Checklist - Recipient Responsibilities

Confirm the subrecipient submitted the following for each structure:

- Certificate of occupancy
- Letter from a licensed professional engineer, licensed professional architect, or building official verifying that the structure was designed and constructed to the minimum standard of the two most recently published editions of the International Codes, even in locations where no code has been adopted
- An officially recorded copy of the property deed amendment that includes notice of flood insurance requirements for each structure (i.e., FEMA’s “Acknowledgement of Conditions for Mitigation of Property in a Special Flood Hazard Area with FEMA Grant Funds” form)
- Copy of the current flood insurance policy for each structure

Verify the property owner’s flood insurance policy status is current.

Verify environmental project conditions were met and permits, notices, and other relevant documentation was submitted as outlined in the project conditions (if applicable).

- 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.
- Submit required closeout documentation to FEMA.
- Send the subrecipient confirmation that the project has been officially closed by FEMA.
- Maintain the complete closeout records on file for at least 3 years from the submission date of its final expenditure report.

Obtain final financial and progress reports from subrecipients.

For floodproofing projects requiring human intervention (i.e., active flood measures), submit a final O&M Plan (signed and dated).

## 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.

Submit a comprehensive property site inventory that includes the property addresses and parcel numbers. Include a list of which properties did and did not participate in the project. If there was a property that did not participate, please include it in the property inventory and indicate “did not participate” or “declined” or “opted out.”

Obtain a certificate of occupancy from a local government agency or building department for each structure.

### Checklist - Subrecipient Responsibilities

Obtain from a registered professional engineer or architect verification in writing that the project was designed and constructed as intended in the SOW.

For floodproofing projects requiring human intervention (i.e., active flood measures), submit a final O&M Plan (signed and dated).

Submit a copy of the recorded deed that includes notice of flood insurance requirements as outlined in the "Acknowledgement of Conditions for Mitigation of Property in a Special Flood Hazard Area with FEMA Grant Funds" form.

Submit a copy of the current flood insurance policy for each structure.

Verify environmental project conditions were met and permits, notices, and other relevant documentation was submitted as outlined in the project conditions (if applicable).

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 audits of the closed project.