

Tsunami Vertical Evacuation Refuge Closeout Checklist

Purpose: Understand the FEMA procedures to successfully close out a Tsunami Vertical Evacuation Refuge activity.

A vertical evacuation refuge is a structure or earthen mound designated as a place of refuge in the event of a tsunami with sufficient height to elevate evacuees above the tsunami inundation depth. The refuge must be designed and constructed to resist tsunami load effects consistent with FEMA P-646 and the latest edition of the American Society of Civil Engineers (ASCE) Structural Engineering Institute (SEI) 7. While building codes provide information on how to construct a refuge, FEMA P-646 provides additional information on population served and siting recommendations that are not included in building codes.

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):			



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)

Letter from a licensed professional engineer or architect that the vertical evacuation refuge and all other items that contribute to its operation have been constructed to meet or exceed FEMA P-646 and ASCE/SEI 7.

Final itemized budget 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, 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.

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 Operations and Maintenance (O&M) Plan received from and confirmed by recipient

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, 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.
Review the latitude and longitude coordinates submitted at closeout to confirm they are the same as the latitude and longitude coordinates approved during project award (or approved SOW changes).
Review the environmental conditions in the Record of Environment Consideration (REC) and/or Environmental Assessment (EA) to confirm conditions were met, and permits, notices, or other relevant documentation was submitted (if applicable). <ul style="list-style-type: none"> ▪ 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 tsunami vertical evacuation refuge project in the appropriate grant system.

Recipient Responsibilities

Checklist - Recipient Responsibilities
Begin closeout when notification is received from the subrecipient.
Ensure that the terms and conditions of the subaward (recipient-subrecipient agreement) clearly identifies the SOW, the start and end dates of the Period of Performance (POP), progress and financial reporting, and closeout requirements of the subaward.

Checklist - Recipient Responsibilities

Monitor activities of the subrecipient to ensure the subaward was used for authorized purposes and the terms and conditions of the subaward were met; take appropriate action to address any deficiencies, if applicable.

Confirm that the community's tsunami vertical refuge O&M Plan contains all elements consistent with FEMA P-646, ASCE/SEI 7, and HMA Guidance. Approve plan based on review.

Obtain final financial and progress reports from subrecipients.

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

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

Update the property site information in the FEMA electronic application system and National Emergency Management Information System (NEMIS) database for each structure.

Ensure submitted expenses are eligible and all costs were incurred during the POP.

Complete the final reconciliation (review the federal share disbursed, match, final total project cost, etc.). This can be included in the body of the closeout request letter or submitted as a separate document.

- In the closeout letter, include a statement that the project met all EHP requirements and what action was taken to address "each environmental condition" or explain why an action was not required.
- The recipient may be required to facilitate coordination with other agencies to obtain copies of permits, notices, etc.

Submit a closeout letter signed by the GAR or equivalent with the following documentation:

- Statement that the SOW has been completed as approved and/or the work complies with the award terms and conditions.
- Certification from a licensed professional engineer or architect that the vertical evacuation refuge and all other items that contribute to its operation have been constructed to meet or exceed FEMA P-646 and ASCE/SEI 7.
- Any structural and nonstructural design peer review reports as required by FEMA P-646 and ASCE/SEI 7.
- A vicinity map, map of the Special Flood Hazard Area (SFHA) if applicable, and a Tsunami Design Zone (TDZ) map showing the extent of inundation by a Maximum Considered Tsunami (MCT), as defined by Chapter 6 of ASCE/SEI 7.
- A list of conditions attached to the subaward, including environmental and historic preservation requirements, and a description of how all conditions have been addressed.
- Verification that the reported costs were incurred in the performance of eligible work (for subaward and federal award closeout).
- Final Quarterly Progress Report indicating work on the subaward has been completed. Since Quarterly Progress Reports include all subawards within an award, this will be a statement in the comment section of the report that the subrecipient has completed the subaward.

Maintain the complete federal award closeout records file for at least 3 years from the submission date of its final expenditure report.

Update the property site information in the FEMA electronic application system and NEMIS database for each structure.

Checklist - Recipient Responsibilities

Submit required closeout documentation and closeout request letter to FEMA.

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

Subrecipient Responsibilities

Checklist - Subrecipient Responsibilities

Notify the recipient per recipient-subrecipient agreement that the project is ready for final inspection and closeout.

Certify that the SOW for the approved subaward was completed.

If the structure is located in an SFHA, ensure that the local government provides documentation of flood insurance for the structure and a copy of the recorded deed amendment.

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.

Provide color photographs of the project site before and after construction.

Provide the latitude/longitude of the project site.

Provide a vicinity map, map of the SFHA if applicable, and TDZ map showing the extent of inundation by an MCT, as defined by Chapter 6 of ASCE/SEI 7.

Include certification from a licensed professional engineer or a registered architect that the vertical evacuation refuge structure and all items that contribute to its operation have been constructed to meet or exceed FEMA P-646 and ASCE/SEI 7 requirements.

Provide any structural and nonstructural design peer review reports as required by the latest editions of FEMA P-646 and ASCE/SEI 7.

Tsunami vertical refuge projects must have an O&M Plan. The final O&M Plan should contain elements consistent with FEMA P-646, ASCE/SEI 7, and HMA Guidance.

Approve the list of environmental conditions that were met when the project was completed. This form will be provided to the recipient for signature and submitted to FEMA.

- When subrecipients sign this form after the project is completed, they are certifying that they complied with all environmental conditions in the REC and EA.
- Keep copies of all environmental permits.
- Provide copies of environmental and/or historic preservation compliance documentation if conditions were assigned to the project.

Prepare any other closeout documentation for submission to the state for review. The subrecipient should verify with the Hazard Mitigation Officer what additional documentation is required for closeout.

Checklist - Subrecipient Responsibilities

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

Maintain all records and receipts, including the submitted Quarterly Progress Reports, in a secure electronic and physical location.

Be prepared for possible audits of the closed project.