



FAA
Airports

Office of Airports (ARP) - Grant Payment and Sponsor Financial Reporting Policy

Office of Airports
Federal Aviation Administration
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Section 1: Applicability

This policy pertains to the requirements for submitting, reviewing, and approving grant payment requests, as well as financial reporting requirements for sponsors. Unless otherwise noted, the requirements within this policy apply uniformly to all grant sponsors, including those states participating in the State Block Grant Program (SBGP). The FAA first issued this policy when grant payment actions transitioned to the Department of Transportation (DOT) Delphi eInvoicing system in 2012. This latest policy update is effective on the date noted on the cover page.

Section 2: Payment Request Method

Grant agreements require sponsors to submit each grant payment request electronically via Delphi eInvoicing for financial assistance awardees unless otherwise directed by the FAA. All sponsor users must create an account to acquire Delphi eInvoicing access and maintain an active registration in Delphi eInvoicing to ensure timely payment(s). Each user must obtain their own individual log-in with a unique email address. Instructions to create an account, access Delphi eInvoicing, Grantee Training, Frequently Asked Questions, and Help Desk contact information can be found at: <https://einvoice.esc.gov/index.html>. Additional training material and information can be found at: https://www.faa.gov/airports/aip/grant_payments.

Section 3: Payment Request Frequency

Sponsors must initiate payment requests for grant activities conducted in accordance with project progress and receipt of contractor invoices. This will typically be monthly but may vary depending on the type of project or the project schedule. As stated in the grant agreement, continued grant payment inactivity, defined as no drawdowns over a 12-month period, can be cause for termination of a grant agreement.

When a grant becomes inactive, sponsors are sent a letter requesting a response regarding their intentions for utilizing their grant funds. Sponsors must respond within 45 days, and responses are tracked and reported on the Quarterly Inactive Obligations Report. Sponsors with no grant payment activity and who do not respond to the initial letter are sent a follow-up letter requesting a response on their intentions to either utilize or decline the funds within 60 days. For further guidance on grant policies and procedures please refer to the most current version of FAA Order 5100.38 (Airport Improvement Program Handbook) and FAA Order 5190.6 (Airport Compliance Manual) found at: https://www.faa.gov/airports/aip/aip_handbook/ and https://www.faa.gov/airports/airport_compliance.

Section 4: Authorized Payment Requesters

Only those users that have successfully set up an account and have an active registration in Delphi eInvoicing may submit payment requests. Users must log-in to the Delphi eInvoicing system at least every 90 days to maintain an active registration.

Sponsors are not limited in the number of users they designate as authorized to request payments on their behalf, and each individual user must have a unique email address. Users must have a valid LOGIN.GOV account before they can be registered in the Delphi eInvoicing, and both email addresses must match. Additionally, sponsors must

have a valid Unique Entity Identifier (UEI) and be registered in SAM.GOV prior to receiving a grant. Sponsors may assign a designee to prepare and save payment requests on their behalf in Delphi eInvoicing; however, sponsors must review any designee prepared payment request for accuracy before the sponsor submits a payment request. The sponsor is responsible for ensuring that all payment requests are accurate and meet all grant payment requirements.

Section 5: Payment Standards and Supporting Documentation Requirements

Section 5.1 Payment Standards

All payment requests must meet the standards described in 2 CFR §§ 200.302 and 305, and the Cash Management Improvement Act of 1990 (CMIA, Pub. L. No. 101-453), when applicable. Under 2 CFR § 200.302 a sponsor's financial management system must be able to:

- Document compliance with federal statutes, regulations and terms and conditions of the award,
- Track revenues and expenditures for each individual federal award, and
- Meet federal reporting requirements as described in 2 CFR §§ 200.328-329.

The intent of CMIA is to minimize the time between the transfer of funds to states (this includes federal payments to block grant states) and the payout for program expenses. The CMIA also strives to ensure that federal funds are available when requested and to assess an interest liability to the Federal Government and/or the States to compensate for the lost value of funds.

Under 2 CFR § 200.305, a sponsor may earn and retain up to \$500.00 per fiscal year in interest income to cover its administrative expenses. Any interest earned from federal fund deposits exceeding \$500.00 annually must be returned to the Federal Government. See 2 CFR §§ 200.305(b)(9), (10) and (11) for remittance guidance details. ARP has developed a sponsor specific training resource to support the payment policy implementation. To access these materials please visit the Airport Improvement Program (AIP) payment policy training web site link at:

https://www.faa.gov/airports/aip/grant_payments/.

Per FAA policy, payment requests will represent the federal share of incurred costs for each eligible invoice amount, and the grantee must provide supporting documentation for the full eligible amount to justify the amount of the payment requested. Based on legislative funding requirements, any required cost-share amount must be included in the invoice(s) and payment request, and both the federal and non-federal shares must be shown as separate components of the total. The federal reimbursable amount (requested amount) must be calculated by applying the federal percentage of total costs (as stated in the grant award agreement) to the total allowable incurred costs for the invoice(s) and payment request submitted. For an example, see Appendix B: Invoice Summary.

Per 2 CFR § 200.305, the advance payment method is the standard method used by

the Federal Government to pay a sponsor. The advance payment method requires that payment requests be based on documented defined costs such as invoices or billing statements. A sponsor's payment request is based on the amount of the federal share of allowable project costs of services billed. Typically, allowable project costs do not have to be paid by the sponsor prior to requesting reimbursement. For more details on advance payment policies, please see the most current version of FAA Order 5100.38 (Airport Improvement Program) or contact your FAA point of contact. The COVID-related grant programs (Coronavirus Aid, Relief, and Economic Security Act (CARES), Coronavirus Response and Relief Supplemental Appropriation Act (CRRSA), Airport Rescue Grants (ARPA) are considered reimbursement programs, and advance payments are not authorized.

Section 5.2 Grant Payment Risk Level

Each sponsor will be assigned a grant payment risk level of nominal, moderate, or elevated. A sponsor's grant payment risk level pertains solely to their risk associated with submitting grant payment requests and may differ than the risk level assigned to the sponsor for other grant administration activities defined in the Office of Airports Funding Programs Grant Oversight Risk Model Policy available at https://www.faa.gov/airports/aip/grant_oversight_risk_model_policy. Grant payment risk levels will be determined based on the factors listed in Table 1. The Office of Airports Regional Office/Airport District Office (RO/ADO) must complete an Airport Sponsor Risk Assessment (Appendix A) to document the assignment of a grant payment risk level to each sponsor.

Table 1: Grant Payment Risk Levels

Grant Payment Risk-Level	Risk Level Factors
Nominal Risk Sponsor	Poses minimal risk of improper use of grant funds.
Moderate Risk Sponsor	Has a documented record of deviation from appropriate grant payment processes and documentation, such as: finding of lack of supporting documentation during payment requests; repeated grant draw down irregularities; or Single Audit findings requiring payments to the Federal Government in excess of \$100,000. All single grants over \$50 million must be treated as a moderate risk regardless of the sponsors overall payment risk level.
Elevated Risk Sponsor	Has a failure to comply with a material provision in a grant agreement; finding of waste, fraud, or abuse; or a repeat of any of the moderate risk factors.

Table 2: Grant Payment Supporting Documentation Requirements

Documentation Requirements ^{1,2}	Nominal Risk Sponsor	Moderate Risk Sponsor	Elevated Risk Sponsor
<p>Invoice Summary: A summary document generated by the sponsor that includes the following information for each Pay Application/Invoice: contractor name³, the date of invoice, invoice number, billed amount, breakout of AIP and Non-AIP eligible costs, invoice payment due date, worksite name, and a short summary of services/material billed (see Appendix B for examples).</p>	X	X	X
<p>Contractor Pay Request: Each Pay Application/Invoice with line-item summary from contractor (see Appendix D for examples).</p>		X	X
<p>Sponsor Certification Letter & Other Supporting Documentation: A letter from the airport sponsor's authorized official that certifies the billed services meet contract pricing and bill quantity requirements as well as all documentation to support billing, such as: line-item details accompanying each pay request; supplier invoices, inspector/observation reports (sponsor or contractor prepared); all associated sponsor/engineer analysis; and labor summary (see Attachment E for examples).</p>			X

In cases where sponsors submit a single payment request combining several grants, including prorated grants, required supporting documentation as outlined in Table 2 must still be submitted by the sponsor. Supporting documentation must be organized to clearly illustrate the grant number associated with these expenses in the payment request. For example, an invoice summary (Appendix B) document must be broken out and attached for each grant number associated with the payment request. For COVID grant programs, single payment requests combining several grants are not permitted.

¹ Sponsors must check supporting documentation for and redact any Personally Identifiable Information (PII) prior to uploading to Delphi eInvoicing.

² CARES, CRRSA, and ARPA Development Addendums and CRRSA / ARPA Concessions Grants require supporting documentation for a Moderate Risk Sponsor regardless of the sponsors overall payment risk level.

³ The use of contractor here and throughout the document references not just construction contractors but also vendors and any service providers that have billed sponsors for work under the payment request.

Pursuant to 2 CFR § 200, the sponsor is responsible for maintaining all original source documentation that supports grant payments from the FAA to the sponsor and for payments made by the sponsor for the project. This includes all related documentation for prime and sub-contractor payments. These accounting records must be made available upon request to the FAA, DOT Office of the Inspector General, Government Accountability Office, independent auditors, and any other auditors acting on behalf of those offices or the FAA, DOT, and Congress. In accordance with 2 CFR § 200.334 and 200.337, all documentation supporting grant payments must be retained for three years after the grantee submits the final expenditure report.

Section 5.3.1 Program Guidance Letter (PGL) 22-02: Grant Proration Alternative

Program Guidance Letter (PGL) 22-02: Grant Proration Alternative issued in July of 2022⁴ describes proration using companion grants or grants over multiple years to complete a project or a phase of a project as an alternative to traditional grant phasing. Companion Grants are two or more grants from one or more funding sources (e.g., AIP, Bipartisan Infrastructure Law (BIL), Supplemental Discretionary, CARES, CRRSA, ARPA, etc.), that together, using proration, fund a complete project or a complete project phase in a single fiscal year. **The approval process for all companion grants payment requests will be on a “manual approval” as outlined in Section 6.0.**

Documentation to support payment requests, when using proration, follow the same requirements included in this document and listed in Section 8.

An example Invoice Summary for companion grants is included in Appendix B.

Section 5.3.2 State Grant Program (SBGP) requirements for BIL Grants

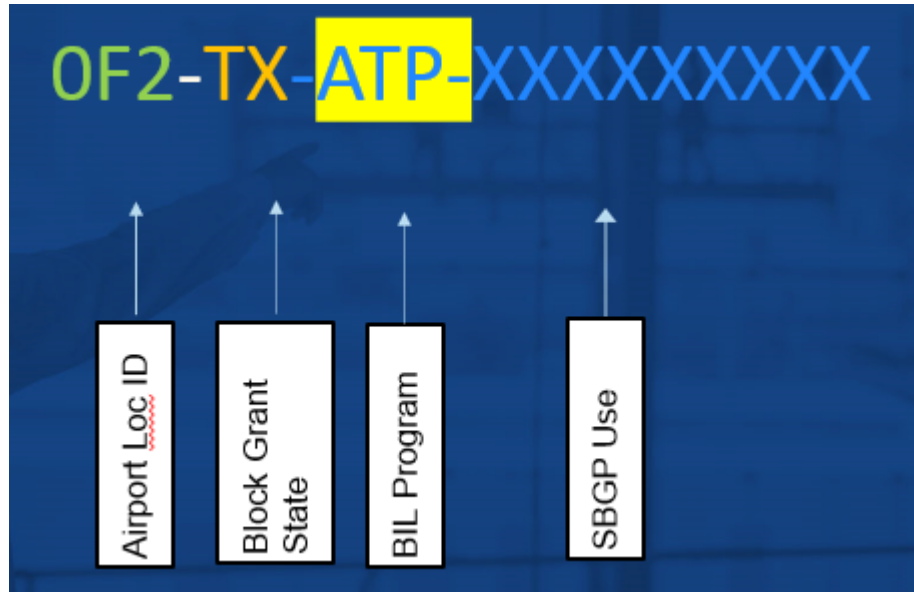
To ensure compliance with the law, the FAA adjusted the delivery of BIL Programs (AIG Allocated, AIG Competitive Federal Contract Towers (FCT), and Airport Terminal Program (ATP)) under the SBGP. All SBGP grants issued to the state will be location specific and based on bids to ensure that any funds remaining unobligated after the fourth year are identifiable and available for competitive grants as required by BIL. **The approval process for all BIL SBGP grants will be “manual approval” as outlined in Section 6.0.**

The naming convention shown in Figure 1 allows for specific accounting of BIL funds per location under each block grant containing multiple locations. The following requirements apply to block grant payment requests:

- One pay request per grant, location-specific with the naming convention shown in Figure 1; and
- Airport ID and SBGP state must be exactly as shown in Figure 1, otherwise payment may be delayed.

⁴ PGL 22-02 is located at: https://www.faa.gov/airports/aip/guidance_letters/aip_pgl_22_02

Figure 1. State Block Grant Naming Convention



Section 5.3.3 Requirements for CRRSA/ARPA Concessions Rent Relief Grants

CRRSA/ARPA Concessions Rent Relief Grants are unique from other FAA grant programs in that they are for the sole purpose of providing relief from rent and Minimum Annual Guarantees obligations to airport concessions at primary airports. As part of the approval process, airport sponsors are required to develop a Concessions Rent Relief Plan that outlines the airport’s eligible concessions and how they intend to utilize their concessions grant funding in accordance with FAA guidance. The airport sponsor is reimbursed through Delphi eInvoicing once their Concessions Rent Relief Plan is approved by FAA headquarters (HQ). **The approval process for all CRRSA/ARPA Concessions Rent Relief Grants is on “manual approval” as outlined in Section 6.0.**

Section 5.4 Matching/Cost-Sharing Requirements

Specific cost-sharing (also known as matching) requirements are outlined in 2 CFR § 200.306. For all federal awards, any shared costs and all contributions, including cash and third-party in-kind contributions, must be accepted as part of the non-federal entity's cost sharing when such contributions meet all the following criteria:

- 1) Are verifiable from the non-federal entity's records;
- (2) Are not included as contributions for any other federal award;
- (3) Are necessary and reasonable for accomplishment of project or program objectives;
- (4) Are allowable under [subpart E of this part](#);

- (5) Are not paid by the Federal Government under another federal award, except where the federal statute authorizing a program specifically provides that federal funds made available for such program can be applied to cost sharing requirements of other federal programs;
- (6) Are provided for in the approved budget when required by the federal awarding agency; and
- (7) Conform to other provisions of this part, as applicable.

All conditions listed above apply to any third-party and/or volunteer services used to meet the matching requirement. In addition, unrecovered indirect costs, including indirect expenses on cost sharing, may be included as part of cost sharing only with the prior FAA approval. In this context, based on 2 CFR § 200.306(c), unrecovered indirect cost means the difference between the amount charged to the federal award and the amount which could have been charged to the federal award under the non-federal entity's approved negotiated indirect cost rate.

Any payment request that includes a reimbursement amount exceeding the allowable federal share may be rejected, and the sponsor will be advised to resubmit the payment request in an amount that equals the allowable federal share.

If the required matching amount has not been satisfied, and/or the cumulative federal share has been exceeded, the sponsor will be required to reimburse the FAA in the amount of the overpayment. See Section 7 – Improper Payments.

Section 6: Review and Approval of Payment Requests Section

6.1 Approval Process Overview

Delphi eInvoicing will automatically check the grant's available balance in Delphi to verify funds availability before a payment request may be successfully submitted by a sponsor. Once a payment request is successfully submitted, it will follow the approval process assigned by the RO/ADO. There are two types of approval processes in Delphi eInvoicing: "auto-approval" and "manual approval."

Auto-Approval: This is an approval process whereby payment requests do not require approval by RO/ADO staff and are processed automatically once successfully submitted. However, all credit memo requests, refunds, and any payment request that would bring the total drawdown request to more than 90 percent of the total grant amount will be routed to manual approval payment process requiring RO/ADO staff approval (see Sections 6.9 and 7 for more information). Sponsors on auto-approval are still required to submit supporting documentation as outlined in Table 2, and all such documentation is subject to review and audit.

Manual Approval: This is an approval process whereby every payment request requires the approval by RO/ADO staff before the payment request is processed. All companion grants that include any federal funds from ARP such as BIL requires manual approval. Grant programs such as CARES, CRSSA, and ARPA also require manual approval.

Section 6.2 Assignment of Approval Process

The RO/ADO will assign each grant an auto-approval or manual approval designation in Delphi eInvoicing based on the sponsor’s grant payment risk level. Table 3, Sponsor Approval Process Requirements, specifies the approval process to be assigned for each grant payment risk level. All nominal grant payment risk level sponsors may be assigned an auto-approval review process, however certain projects, such as terminal, environmental, land, planning, parking lots, or multi-year projects, may need more oversight. The RO/ADO has the discretion to assign a manual approval process to any grant for nominal sponsors. The approval payment process for all BIL companion and BIL SBGP grants must be on manual approval. All moderate and elevated grant payment risk level sponsors must be assigned a manual approval process in Delphi eInvoicing.

Table 3: Sponsor Approval Process Assignment Requirements

Grant Payment Risk-Level	Delphi eInvoicing Approval Process
Nominal	<p>Auto-Approval – No RO/ADO approval required except for payment requests within the final 10 percent of the grant award amount.</p> <p>Manual Approval – BIL SBGP grants, and companion grants per PGL 22-02, and programs requiring manual approval. Approval hierarchy must include at least one level of RO/ADO approval.</p> <p>At the discretion of the RO/ADO, specific grants to nominal risk sponsors may be assigned a manual approval process. These projects must still meet nominal risk sponsor documentation requirements.</p>
Moderate	<p>Manual Approval - Approval hierarchy must include at least one level of RO/ADO approval.</p> <p>All grants exceeding \$50 million (excluding state block grants) regardless of sponsor risk level must be assigned a manual approval process.</p>
Elevated	<p>Manual Approval – Approval hierarchy must include at least two levels of RO/ADO approval of which one level must be conducted by a RO/ADO manager.</p>

Section 6.3 Delphi Approval Hierarchy

Approval hierarchies are created to identify the RO/ADO staff who will be responsible for payment review. A RO/ADO must have at least one approval hierarchy for each approval process type (auto and manual). However, it is more common to see several hierarchies created to best accommodate the delegation of payment review duties within the RO/ADO. When a grant is obligated in Delphi, the RO/ADO must assign a hierarchy to ensure it is routed correctly for electronic approval.

6.3.1 Hierarchy Creation and Modification

To create or modify approval hierarchies, the RO/ADO must complete and submit the Hierarchy Change Request (Appendix G) to the Delphi eInvoice help desk or complete an electronic form at: <https://support-isupplier.esc.gov/Forms>. All approval hierarchies must comply the following naming convention:

“<AIP>-<RO>-<ADO>-<Approval Process Type>-<Number>.” Blended regions do not use the ADO field. For example, a manual approval hierarchy in the Eastern Region for Washington ADO would be named: AIP-AEA-WAS-MANUAL-1 while an auto-approval hierarchy in the blended Central Region would be named: AIP-ACE-AUTO-1.

The RO/ADO manager is responsible for ensuring approval hierarchies in Delphi eInvoicing are current and accurate. Hierarchies with inactive users or inaccurate user assignments will delay payments or inadvertently auto approve payments that require manual review.

6.3.2 Hierarchy Assignment

To assign a hierarchy to a grant or change a grant’s hierarchy assignment, the RO/ADO must complete and submit the Hierarchy Assignment Form (Appendix F) to the Delphi eInvoicing help desk or complete an electronic form at: <https://support-isupplier.esc.gov/Forms>. Please note the FAA currently only makes hierarchy assignments by Delphi purchase order (PO).

For COVID-relief grants, FAA HQ personnel are responsible for establishing either one- or two-level hierarchies. HQ assigns a one-level review for non-development COVID-relief grants. For the COVID-relief development grants, HQ assigns a two-level review, with the second reviewer being someone from HQ. Per FAA policy, the RO/ADO must provide HQ with the contact information of the RO/ADO second-level reviewer at the time a COVID-relief development addendum or amendment is obligated. Once HQ receives the contact information, it will assign that reviewer to be the first-level reviewer. For invoices pertaining to development on a COVID-relief grant, HQ will only approve a payment request after the RO/ADO first-level reviewer has approved the request.

Section 6.4 Review of Payment Requests from Sponsors on Manual Approval

RO/ADO staff will receive an email notification for all payment requests requiring manual approval. The RO/ADO must review all payment requests electronically in Delphi eInvoicing for those sponsors and/or grants assigned a manual approval payment process. The RO/ADO must check the following before approving the payment request:

- All required supporting documentation is uploaded with each payment request.
- Each payment requested amount matches the supporting documentation.

- There are no obvious errors, or obvious unreasonable or unallowable costs.
- Based on review of the supporting documentation, work covered by the payment appears to be align with the project schedule and scope of services.
- Payment request is consistent with the most recent construction progress reports submitted by the sponsor for the project and/or supporting documentation.
- Supporting documentation as required in the COVID-relief grant Frequently Asked Questions (FAQs) is including in the payment request. For more information, please see the [CARES](#), [CRRSA](#) and [ARPA](#) FAQs at: https://www.faa.gov/airports/financial_assistance#COVID.

Per PGL 22-02, the following requirements must also be checked before approving grant payment requests for prorated companion grants:

- All eligible project costs are distributed between the companion grants at the proration as described in the grant agreements with each pay request; and
- Sponsors entered reimbursement requests for each companion grant at the same time.

Section 6.5 Review of Payment Requests from Sponsors on Auto-Approval

No approval action is necessary for payment requests submitted by sponsors assigned an auto-approval process. However, RO/ADO staff must still monitor payments on a quarterly basis to ensure the required supporting documentation is uploaded with each request and the drawdowns are consistent with sponsor project progress and financial performance reporting. During this quarterly review, the RO/ADO must select at least one grant per sponsor and review all payment requests submitted for that grant during the quarter. The RO/ADO must review payment requests for the following:

- All required supporting documentation is uploaded with each payment request.
- Each payment requested amount matches the supporting documentation.
- All work completed in the payment requests is consistent with the quarterly construction progress reports submitted by the sponsor for the project.
- There are no findings of any obvious errors or obvious unreasonable or unallowable costs.

The RO/ADO must document this quarterly review by printing, reviewing, and initialing each payment request. These documents should then be placed in the project file. The RO/ADO must work with the sponsor to resolve any improper payments discovered during the quarterly review (see Section 7: Improper Payments).

Once payment requests are approved in Delphi eInvoicing they will be electronically batched in Delphi and sent to the United States (U.S.) Treasury for payment to the sponsor's bank through electronic funds transfer. Approved payment requests are electronically batched daily in Delphi, and sponsors should receive their payment within two business days of approval.

Section 6.6 Review of Payment Requests from Sponsors on Manual-Approval

For sponsors on manual approval, RO/ADO staff will automatically receive e-mail notifications from Delphi eInvoicing when a payment request is submitted and awaiting action. RO/ADO staff must access Delphi eInvoicing and approve payment requests within 30 days of the payment request being made. Upon successful review, the RO/ADO must approve the payment requests in Delphi eInvoicing. RO/ADO staff must not change the payment request amount or redistribute the accounting line in which the payment amount draws from. All payments will be made on a first-in-first-out accounting basis. Once all the designated approvers identified in the hierarchy workflow for the sponsor and/or grant have approved the payment request, it will be electronically batched in Delphi and sent to the U.S. Treasury for payment. An email will also be sent to the sponsor informing them that their request has been approved and is now pending payment.

For COVID-relief grants, all grants are set to manual approval process. Like the manual structure discussed above, FAA HQ personnel will automatically receive email notifications from Delphi eInvoicing. For all development grants, both FAA HQ personnel and RO/ADO will automatically receive email notifications from Delphi eInvoicing.

Section 6.7 Rejection of Payment Requests

For sponsors on manual approval, when RO/ADO staff determines a requested payment amount is not accurate, reasonable, allowable, or justified, the entire payment request must be rejected in Delphi eInvoicing. RO/ADO staff rejecting the payment must provide the reason the payment request was rejected, and annotate the corrective action required in the comments field. All sponsors will be notified by Delphi eInvoicing when their payment request is rejected. Once corrected, the sponsor must resubmit a new payment request with the required supporting documentation again in Delphi eInvoicing.

If a sponsor submits a payment request or an invoice for less than one dollar and the sponsor is on manual approval, the approving official must reject the invoice as invoices less than one dollar cannot be paid. Sponsors will automatically receive an email rejection notification from Delphi eInvoicing.

Except for final payments (Section 6.8), payment requests from sponsors on auto-approval cannot be rejected in Delphi eInvoicing by the RO/ADO. If there are any errors in payment requests, the sponsor must immediately contact their RO/ADO and submit a credit memo, as outlined in Section 7, to correct the payment.

Section 6.8 Final Payment Request

As directed in 49 U.S.C. § 47111:

Payments totaling not more than 90 percent of U.S. Government's share of the project's estimated allowable costs may be made before the project is completed if the sponsor certifies to the Secretary that the total amount expended from the advance payments at any time will not be more than the cost of the airport development work completed on the project at that time.

Payment requests for non-developmental COVID-relief grants are not limited to this 90 percent regulation. A payment request for such grants can be for any percentage up to and including 100 percent of the grant amount and can be submitted at any time.

All payment requests within the final 10 percent of the Government's share of grant funds will require manual RO/ADO approval. For the purposes of complying with the 90 percent statutory provision, a project the FAA determines to be "substantially complete"⁵ can receive payment within the last 10 percent of the grant agreement provided other parts of this section are met.

COVID-relief development and concessions grants are an exception, and 100 percent of the costs must be approved manually by FAA HQ.

The RO/ADO may approve payments beyond 90 percent of the total grant amount in connection with specific projects that the FAA determines to be substantially complete per the contract terms. Before the RO/ADO can consider approving any payment beyond 90 percent of the total grant, they must confirm: work covered by the payment is already completed and aligns with the project schedule and/or scope of service, or, for phased projects, the subsequent phase is able to commence; cost is reasonable and allowable; and the request is consistent with the most recent project progress and financial performance reports. The airport sponsor's request must be grant specific and the below conditions must be met for the specific project or projects within the grant agreement that will be reimbursed by no more than 7.5 percent of the remaining 10 percent of grant funds. The RO/ADO must consider each grant on a case-by-case basis before approving payments exceeding 90 percent of the grant award.

Conditions for approval of payments beyond 90 percent of the total grant amount:

- the sponsor is in the "Nominal" risk category; and
- the project resulted in a complete, usable unit of work as defined in the grant agreement; or
- the work described in the grant agreement for a phased project is complete and the subsequent phase can commence.

Per PGL 22-02, for companion grants, all eligible project costs beyond 90 percent of the total grant amount must be distributed between the companion grants at the proration as described in the grant agreements with each pay request; and sponsors must enter reimbursement requests for each companion grant at the same time, unless under specific circumstances as outlined in PGL 22-02, the sponsor notifies the RO/ADO that an amendment will be required and applied to only one companion grant.

The sponsor is responsible for submitting to the RO/ADO all required documentation including the contract section and evidence that the sponsor has found the project substantially complete per the contract requirements. The RO/ADO will consider this documentation in determining if the project is substantially complete based on review of project progress reports and will approve any related payment requests. Any grants on auto-approval will automatically be reassigned to manual approval when the total

⁵ Substantial completion is generally a defined term in a contract and is the stage of the project when work is sufficiently complete in accordance with the contract documents so that the owner can occupy or use the project for its intended purpose. The substantial completion date typically triggers retainage release; the warranty period; determination of any actual or liquidated damages; the start of the statute of limitations; and related actions. A phased project is considered substantially complete when work included under the subsequent phase can commence.⁶ 2 CFR §§ 25.110; 25.200(b); Appx. A to Part 25, Sect. (1) A. through C.

drawdown amount reaches 90 percent of the grant award amount; this will enable the required approval by RO/ADO staff for the remaining 10 percent of available grant funds.

If a grant amendment is initiated that would increase the award amount, the sponsor may continue to request payment on those additional funds up until the total drawdown amount equals the re-calculated 90 percent threshold. At that point, grants will be automatically reassigned to a manual approval process.

The RO/ADO may exclude block grants to States participating in the SBGP from the final 10 percent hold. In these cases, the State is not the “sponsor” of a project and therefore the block grant is not subject to this provision. In such cases, the State may drawdown the full 100 percent of the grant award amount prior to submitting financial closeout documentation. However, States are required to follow the final 10 percent hold for all sub-award projects consistent with the statute. Block grant states may also follow the criteria established for payments within the final 10 percent of a sub-award project similar to the RO/ADO process outlined in this section.

For the SBGP, the RO/ADO may not approve payment for the final 2.5 percent of the grant amount, or for projects under budget by 2.5 percent of the estimated final grant amount, until all required closeout documentation (administrative, technical, and financial) is received by the FAA. To avoid the potential for an improper payment for projects under budget, the sponsor’s pay requests beyond 90 percent of the total grant amount should be based on the estimated final grant amount.

Section 6.9 Holding Payment Requests

If a sponsor is suspected to be in noncompliance with their grant assurances or is indebted to the U.S. Government, the RO/ADO staff may put a hold on all payment requests by contacting 9-AMC-AMZ-ISP-TIER2-HELPDESK@faa.gov to suspend the sponsor’s Delphi eInvoicing account. All sponsors with a hold on payment requests will not be able to submit payment requests in Delphi eInvoicing. The RO/ADO staff may not withhold payment for approved incurred costs for more than 180 days unless the Regional Airports Division Manager has notified the sponsor in writing, and has provided an opportunity for a hearing, and the sponsor has been found in violation of a grant agreement (See 49 U.S.C. § 47111(d)). The RO/ADO must contact the Airport Compliance and Management Analysis Branch, ACO-100, for specific procedures and requirements before attempting to withhold payments for noncompliance.

Payments may also be held if sponsors are not in compliance with 2 CFR Parts 25 and Part 200. Applicants for federal financial assistance must satisfy the requirements of 2 CFR § 25.200 and § 200.211 by obtaining and maintaining a valid unique entity identifier (UEI) and active SAM registration for the entity with the legal authority to apply for and receive AIP funding. This entity would be the FAA-approved eligible airport sponsor. Sponsors are required to maintain a current active registration in SAM.gov for the period of performance of the federal award.⁶ This requirement lasts until the later of the submission of the final financial report or the sponsor’s receipt of the final payment.

⁶ 2 CFR §§ 25.110; 25.200(b); Appx. A to Part 25, Sect. (1) A. through C.

Section 7: Improper Payments

An improper payment⁷ is any payment that should not have been made or that was made for an incorrect amount (including overpayments and underpayments) under statutory, contractual, administrative, or other legally applicable requirements. This also includes payment to an ineligible party, payment for an ineligible good or service, duplicate payment, payment for a good or service not received (except for such payments where authorized by law), payment that does not account for credit for applicable discounts, and any payment not consistent with sponsor's submitted supporting documentation. When an improper payment results in monetary loss to the Federal Government, the funds must be recovered.⁸ Sponsors must not deduct the improper payment amount from the next payment amount requested.

If a sponsor submits an improper payment in Delphi eInvoicing, they must immediately contact their RO/ADO. In the case of a COVID-relief grant, CARESAirports@faa.gov or their respective HQ invoice reviewer. If the improper payment has not yet been approved, the RO/ADO must reject the payment request in Delphi eInvoicing.

Any improper payments that have already been processed and received by the sponsor require that a credit memo (refund to the Federal Government) be processed to return the funds. The sponsor must notify their RO/ADO that they need to return funds for a specific grant. The RO/ADO will verify whether the grant is open or closed.

Section 7.1 Open Grants

If the grant is open, the sponsor can choose to submit a credit memo in Delphi eInvoicing or submit reimbursement directly to the FAA.

If submitting a credit memo, the following conditions apply:

- Funds must be available on the grant to process.
- The grant must be within the period of performance and the 120-day liquidation period (for SBGP 90-days liquidation period).
- The sponsor will create documentation in Delphi eInvoicing and include supporting documentation, such as an official letter from the sponsor's authorized representative who accepted the grant explaining the reason for the credit memo.
- Requests will require approval by the RO/ADO or HQ (COVID-relief grants only). Credit memo requests will be automatically assigned a manual approval process in Delphi eInvoicing regardless of the sponsor grant payment risk level.
- Once the credit memo is approved, it will interface with Delphi and automatically be put on hold. When a subsequent payment request is submitted against the same UEI and Electronic Fund Transfer (EFT) indicator, ESC personnel will manually net the two amounts and pay the difference.
- Within 29 days from credit memo approval, the sponsor should submit a standard

⁷ 2 CFR §§ 200.1 and 200.428; and Pub. L. 112-248

⁸ 2 CFR §§ 200.345, 200.410 and 200.411

payment request or multiple requests to offset the credit memo. The total offset must be exactly \$0 or greater than \$1.00. After 29 days, if no subsequent payment has been made to offset the returned amount, the credit memo will be removed in Delphi eInvoicing and sent to FAA Accounts Receivable (A/R) for collections processing. A/R will send a bill for collection to the sponsor, and the sponsor must submit a check.

- If the grant's period of performance has ended, or if there is no expectation that future pay requests will be sufficient to correct the improper payment, the sponsor must reimburse the FAA via check or electronic payment.
- The sponsor should send the check to FAA Accounts Receivable referencing the Purchase Order (PO) number to the following address:
 - ESC/FAA/AMK-322
 - Mike Monroney Aeronautical Center
 - MPB 24 Room B21 AMK-322
 - 6500 S. MacArthur Blvd
 - Oklahoma City, OK 73169-6918
- The sponsor can also submit reimbursement via Pay.gov
 - Search FAA MISCELLANEOUS PAYMENT
 - Reference the Grant or PO number in the Payment Description
 - Submissions cannot exceed:
 - Payment by Bank Account: \$100,000.00
 - Payment by Credit Card: \$24,999.99

Section 7.2 Closed Grant

When a grant is closed and a credit memo (refund) is necessary, the refund may be handled in one of two ways.

First, the sponsor may submit reimbursement directly to the FAA or offset the federal debt against a current award. For COVID-relief grants, the sponsor must submit a check, complete an EFT, or wire transfer funds to offset the federal debt. To offset the federal debt via a check or electronic payment, the following process must be followed outside the Delphi eInvoicing system:

- The sponsor notifies the RO/ADO/HQ that they are returning funds for a specific grant.
- If appropriate, the sponsor submits supporting documentation for RO/ADO/HQ review and approval. RO/ADO/HQ notifies FAA ESC accounting that the funds will be returned and provides the associated PO number. If the PO is in a closed status in Delphi, upon entry of the credit memo, the PO status will be changed by ESC from closed to open. If there are no further invoices to be applied to the PO, a deobligation will need to be processed.
- RO/ADO/HQ instructs the sponsor to send the check to FAA Accounts Receivable (A/R) referencing the purchase order number and at the following address:
 - ESC/FAA/AMK-322

Mike Monroney Aeronautical Center
MPB 24 Room B21 AMK-322
6500 S MacArthur Blvd
Oklahoma City OK 73169-6918

The sponsor emails a copy of the refund check to the RO/ADO/HQ and FAA ESC accounting for reference.

- Once the returned funds have been received and processed by FAA A/R and Accounts Payable (A/P), A/P will notify the RO/ADO to adjust the funds in the ARP SOAR database system. The normal closeout process is followed at this point.
- The sponsor can also submit reimbursement via Pay.gov
 - Search FAA MISCELLANEOUS PAYMENT
 - Reference the Grant or PO number in the Payment Description
 - Submissions cannot exceed:
 - Payment by Bank Account: \$100,000.00
 - Payment by Credit Card: \$24,999.99

Alternately, the sponsor may submit a credit invoice via eInvoicing if the sponsor intends to submit new reimbursement requests within 29 days that match or exceed the credit amount by \$1 or more. The reimbursement request does not have to be related to the same grant; however, it does have to be on the same sponsor (Delphi supplier number and supplier site). Once approved, the credit invoice will offset against standard invoice(s) that are approved after the credit invoice, and the net amount will be paid to the sponsor. Instructions for submitting a credit invoice are available on the eInvoicing site: [ESC: Delphi eInvoicing System - Grantee Training](#)

Section 8: Financial Reporting

In accordance with 2 CFR § 200.328, sponsors are required to submit certain financial reports to summarize grant expenditures and the status of project funds. These financial reports must be collected outside of the Delphi eInvoicing system. Delphi eInvoicing is limited to grant payments and does not provide the full capabilities to manage financial reporting requirements. All sponsors must prepare and submit the following financial reporting forms to the appropriate RO/ADO in accordance with the frequency requirements specified below.

- **SF-425, Federal Financial Report (Appendix H):** Sponsors must submit this report, or approved equivalent, annually for each open grant no later than 90 days after the end of each federal fiscal year to report outlays and program income on a cash or accrual basis. In addition, this report must be submitted as a final financial report during closeout in accordance with 2 CFR §§200.329 and 200.344.
- **SF-271, Outlay Report and Request for Reimbursement for Construction Program (Appendix I):** This report, or approved equivalent, is used for construction projects only. It must be submitted by sponsors annually no later than 90 days after the end of each federal fiscal year to report program funds expended and federal

disbursements received. In addition, this report must be submitted as a final financial report during closeout in accordance with 2 CFR § 200.344.

- **SF-270, Request for Advance or Reimbursement (Appendix J):** This report, or approved equivalent, is used for non-construction projects only. It must be submitted by sponsors annually, due no later than 90 days after the end of each federal fiscal year to report program funds expended and federal disbursements received. In addition, this report must be submitted as a final financial report during closeout in accordance with 2 CFR § 200.344.

All valid obligations incurred under a federal award including SBGP prime awards must be liquidated within 120 days of the end of the period of performance, however a 90-day liquidation period applies to all SBGP subrecipients receiving a subaward, and a final financial report (and all other required reports) must be submitted as well. If the sponsor does not submit all reports in accordance with 2 CFR § 200.344 and the terms and conditions of the federal award, the FAA will close out the grant with the information available within one year of the period of performance end date.

Appendix A. Oversight Area Risk Documentation Form



Airport Sponsor Risk Assessment

Project Manager Assessment Checklist

Scope

This checklist is for use by ARP Project/Program Managers (PM), who must review and complete the suggested assessment procedures stated below.

Note: The checklist provides suggested documentation the PM can review to assist in completing the checklist. Additional review processes might be necessary in order to perform a comprehensive assessment of the Sponsor. Answering the questions on this form will allow the specialist to enter the data necessary to complete the Risk Assessment Tool. Under some of the questions, additional guidance is provided to provide clarification of the intended scope of the PMs *review*.

Purpose

The checklist below helps ARP assess a sponsor's performance and associated risk.

Airport Sponsor's Full Name: _____

Sponsor's Airports: _____

The PM's initials below simply acknowledge the PM completed the checklist and the associated date. Answers are based solely on the PMs *knowledge* and professional judgment of the sponsor along with any items researched as suggested on the checklist.

PM Initials: _____

Date Completed: _____
(*enter* the FY into the Risk Model Tool to generate the next assessment's due date.)

2A. Risk Category: Sponsor Past Performance (Payments and Processing)

Below is a list of suggested source documentation that can be used to assess whether a Sponsor has a history of grant payment and processing irregularities.

- "Open/Closed Grant Status" report in SOAR- to determine if the sponsor has a history of untimely grant closeout.
- Sponsor's "Quarterly Performance Reports"- for questionable sponsor grant payment history as compared to project progress.
- Quarterly review of payments in invoicing- to determine improper draws (i.e. no attachments, wrong or inconsistent amounts, etc.)
- "Delphi Grant Balance Detail" report in SOAR- to review grant inactivity

1) For all open grants* within the last 3 fiscal years, select the frequency in which the Sponsor has submitted improper drawdowns.

Never Occasionally Regularly Always

2) For all open grants* within the last 3 fiscal years, select how often the time between Sponsor grant drawdowns is greater than 30 days.

Never Occasionally Regularly Always

3) For all open grants* within the last 3 fiscal years, select the frequency in which the Sponsor has submitted untimely financial project closeouts. (e.g. 6 or more months after a construction project is physically/substantially complete)

Never Occasionally Regularly Always

(*For all open grants within the last 3 fiscal years, staff only need to consider grants issued in the last 3 fiscal years.)

2B. Risk Category: Sponsor Past Performance (Payments and Processing)

Below is a list of suggested source documentation that can be used to assess whether the Sponsor has a history of grant payment processing irregularities, such as improper drawdowns, late payments, large outstanding balances not liquidated or untimely financial project closeouts.

- "Delphi Grant Payment Detail" report in SOAR- for payment activity irregularities.
- "Open/Closed Grant Status" report in SOAR- to determine if the sponsor has a history of untimely grant closeout.
- Sponsor's "Quarterly Performance Reports"- for questionable sponsor grant payment history as compared to project progress.

1) During the last three fiscal years, select the level of frequency the Sponsor has been untimely submitting closeout documents exclusive of factors outside the Sponsor's control such as weather.

Never Occasionally Regularly Always

2C. Risk Category: Sponsor Past Performance (Improper Contracting/Procurement)

Below is a list of suggested source documentation, if applicable, that can be used to assess whether Sponsor has a history of engaging in improper contracting or procurement practices.

- Bid tabs submitted with grant application package-to assess continued compliance with the Office of Airports funding programs regulations.
- Project contracts submitted with grant application packages-to determine if the contracts contained a representation of true market conditions.
- Engineer Estimates/Reports submitted with grant applications and progress reports- to assess continued reasonableness of costs.
- Change Orders for cost analysis retained in sponsor's grant file-to assess if there have been (and the reason for) any significant differences in the proposed contract prices and the Sponsor's cost estimate.
- Bid Protests against the sponsor and contract disputes brought against the Sponsor for any improprieties.

1) For any open grants* issued within the last 3 years, does the Sponsor have a history of any of the actions below? If No, go to section 2D. If yes, answer questions 2-6.

Yes No

2) For any open grants* issued within the last 3 years, does the Sponsor have a history of improper relationships with contractor personnel?

Yes No

3) For any open grants* issued within the last 3 years, does the Sponsor have a history of irregular bidding practices?

Yes No

4) For any open grants* issued within the last 3 years, does the Sponsor have a history of not preparing estimates or preparing estimates after solicitations were opened/awarded? Construction Estimates

Yes No

5) For any open grants* issued within the last 3 years, does the Sponsor have a history of issuing modifications or proposal changes following contract award that could alter the apparent low bidder?

Yes No

6) For any open grants* issued within the last 3 years, does the Sponsor have a history of engaging a contractor with a cost reimbursement or cost plus contract without prior FAA approval? *(While the question calls out two specific methods, staff should focus generally on contracting methods not allowed by the FAA.)*

Yes No

*(*For all open grants within the last 3 fiscal years, staff only need to consider grants issued in the last 3 fiscal years.)*

2D. Risk Category: Sponsor Past Performance (Grant Amendments)

Below is a list of suggested source documentation that can be used to assess whether the sponsor has a history of requesting 15% amendments prior to project closeout.

- Office of Airports funding programs, Grant Status Report (Form 5100-107) in SOAR-review for past grant amendments.

1) For all open grants* issued within the last 3 fiscal years, select the frequency in which the Sponsor has requested an amendment for the full 15% amount of the grant.

Never Occasionally Regularly Always

*(*For all open grants within the last 3 fiscal years, staff only need to consider grants issued in the last 3 fiscal years.)*

2E. Risk Category: Sponsor Past Performance (Non-compliance)

Below is a list of suggested activities that can be performed to assess whether sponsor has a history of previous Single Audit findings, or findings associated with oversight bodies (e.g. OIG, GAO), historic problems with audit findings, or non-compliance with grant assurances and other federal grant requirements (e.g. SAM Registration, Davis-Bacon and Buy American).

- The sponsor file-to identify any Sponsor compliance issues, such as Single Audit findings and improper practices.
- Contact the Regional compliance specialist/ACO-100 to confirm any sponsor compliance issues

1) In the last 3 fiscal years, has the Sponsor had any instances for non-compliance of the following: Federal legislation, grant assurances, or FAA grant requirements? If No, go to section 2F. If yes, answer questions 2-4.

Yes No

2) Has the Sponsor had one or more instances of non-compliance with Federal legislation in the last 3 fiscal years?

Yes No

3) In the last 3 fiscal years, has ACO-100 found the Sponsor to be in non-compliance with the Sponsor's grant assurances?

Yes No

4) Has the Sponsor had one or more instances of non-compliance with regard to applicable FAA grant requirements in the last 3 fiscal years? (Reporting)

Yes No

2F. Risk Category: Sponsor Past Performance (Single Audit/Improper Practices)

Below is a list of suggested activities that can be performed to assess whether sponsor has a history of previous Single Audit findings, or findings associated with oversight bodies (e.g. OIG, GAO), historic problems with audit findings, or non-compliance with grant assurances and other federal grant requirements (e.g. Davis-Bacon and Buy American).

- The sponsor file-to identify any Sponsor compliance issues, such as Single Audit findings and improper practices.
- Contact the Regional compliance specialist/ACO-100 to confirm any sponsor compliance issues
- Previous single audits submitted to the Federal Audit Clearinghouse (FAC)
- Review yearly improper audit findings (see Headquarters' Regional Implementation Guidance (RIG's))

1) In the last 3 fiscal years, has the Sponsor received any citations for, the following: FAA internal reviews, formal findings or Single Audit findings? If No, go to question 2G. If yes, answer questions 2-4.

Yes No

- 2) In the last 3 fiscal years, has the Sponsor had one or more findings through FAA internal reviews? (e.g., PFC, AIP, Environmental, Contracts, or any other review excluding Single Audits)

Yes No

- 3) In the last 3 fiscal years, has the Sponsor had one or more formal findings by any oversight body? (e.g., DOT, OIG, or GAO excluding Single Audit)

Yes No

- 4) Has the Sponsor had one or more Single Audit findings in the last 3 fiscal years?

Yes No

2G. Risk Category: Sponsor Past Performance (Documentation)

Leverage the personal knowledge, experience, and professional judgment from previous interactions / requests made to the sponsor to assess whether the sponsor has a history of being able to provide documentation within 30 days of request.

- 1) Historically, the Sponsor is unable to provide documentation within 30 days of request. (Staff should focus on standard grant documentation and not unique or large volume requests for information.)

Yes No

3. Risk Category: Sponsor Demographics

Leverage the personal knowledge, experience, and professional judgment from previous interactions / requests made to the sponsor.

- 1) Do any of the following items apply to the Sponsor: limited staff with shared responsibilities, employ key decision makers with conflicts of interest, employ inexperienced individuals, and has experienced recent turnover resulting in new staff that are unfamiliar with processes and procedures. If no, you are done. If yes, answer questions 2-6.

Yes No

- 2) The Sponsor has limited staff with shared responsibilities, roles, and functions. Staff also may possess additional job roles outside of the typical airport functions.

Yes No

3) Does the Sponsor have key decision makers that have potential conflicts of interest or a ~~negative~~ ~~effect~~ on the decision making process?

Yes No

4) Is this the first time we are issuing a grant to this Sponsor?

Yes No

5) The Sponsor employs inexperienced individuals (lack of appropriate competencies such as ~~environmental~~ regulations or financial management).

Yes No

6) Within the last fiscal year, has the Sponsor experienced recent turnover that resulted in hiring new ~~staff~~ that are unfamiliar with policies, procedures, regulations, and requirements?

Yes No

Appendix B. Example of Invoice Summary

Summary of Sponsor Invoice # 15

Grant # 3-00-0000-001-2011

Contractor/Consultant Name	Contractor Invoice #	Invoice Date	Due Date	Billed Amount	AIP Costs	Non-AIP Costs	Worksite Name	Short Summary of Services/Materials Billed
B & D Associates	7	3/30/2012	4/30/2012	\$35,400.00	\$31,860.00	\$3,540.00 ⁹	St. Augusta Regional Airport	300 hours of project assessment and inspection. This amount includes \$2,000 local funding and \$1,540 CARES development grant funding.
Point Industries	4	5/3/2012	6/3/2012	\$325,312.00	\$292,780.00	\$32,532.00 ¹⁰	St. Augusta Regional Airport	Removal of 63 square yards of pavement, installed 3,837 tons of crushed aggregate base course and installed 6,243 tons of bituminous binder course. This amount includes \$20,000 BIL funding and \$12,532 CARES development grant funding.
Total Requested					\$324,640.00			

⁹ This amount includes \$2,000 local funding and \$1,540 CARES development grant funding.

¹⁰ This amount includes \$20,000 BIL funding and \$12,532 CARES development grant funding.

SAMPLE 1-INVOICE SUMMARY for DEVELOPMENT PROJECT (Cumulative)

GRANT RECIPIENT INFORMATION

Name: ABC Airport Authority
 Airport: ABC Municipal Airport
 Address: 2222 Airport Road
 City/State: Airport City, USA
 Grant Number: 3-XX-XXXX-XX
 Description: Rehabilitate Taxiway
 Reimbursement No.: 4
 Federal Share %: 90%

PROJECT INFORMATION

(1a) Vendor/Class/Description	(1b) Contract	(1c) Previously Payments	X	(2) Invoice Number	(3) Invoice Date	(4) Due Date	(5) Invoice Amount	(6) AIP Eligible Costs	(7) Non- Participating Costs	(8) AIP Share
Administrative										
Daily Dispatch - RFQ	n/a	50.00		1	10/1/11	11/1/11	\$ 50.00	\$ 50.00	\$ -	\$ 45
Daily Dispatch - IFB	n/a	250.00		2	4/1/12	5/1/12	\$ 250.00	\$ 125.00	\$ 125.00	\$ 113
FedEx - Project Manual	n/a	35.00		1	1/1/12	2/1/12	\$ 35.00	\$ 35.00	\$ -	\$ 32
FedEx - Grant Agreement	n/a	15.00		2	6/1/12	7/1/12	\$ 15.00	\$ 15.00	\$ -	\$ 14
Engineering - Design Services										
AIP Consultants, Inc.: (2012D127)	\$60,000.00	\$ 55,000.00								
Design, Bid Services				2012D127-1	12/1/11	1/1/12	\$ 15,000.00	\$ 15,000.00	\$ -	\$ 13,500
Design, Bid Services				2012D127-2	1/1/12	2/1/12	\$ 25,000.00	\$ 23,000.00	\$ 2,000.00	\$ 20,700
Design, Bid Services				2012D127-3	2/1/12	3/1/12	\$ 15,000.00	\$ 15,000.00	\$ -	\$ 13,500
Design, Bid Services			x	2012D127-4	4/1/12	5/1/12	\$ 5,000.00	\$ 5,000.00	\$ -	\$ 4,500
Construction Phase Services - Observation and Testing										
AIP Consultants, Inc.: (#2012C157)	\$75,000.00	\$0.00								
Construction Services-March2012			x	2012C157-1	4/1/12	5/1/12	\$ 2,500.00	\$ 2,500.00	\$ -	\$ 2,250
Construction Services-April 2012			x	2012C157-2	5/1/12	6/1/12	\$ 10,257.00	\$ 10,257.00	\$ -	\$ 9,231
Construction										
Airport Paving Inc.	\$800,000.00	\$0.00								
Construct Taxiway			x	1	6/1/12	7/1/12	\$ 50,000.00	\$ 50,000.00	\$ -	\$ 45,000
= Current Invoice Submittal										

x= Current Invoice Submittal

Format Features

- Allows tracking of all invoices submitted under the project to date.
- Groups invoices into appropriate cost classifications (e.g. Design)
- Identifies specific invoices addressed under current outlay

	TOTAL	\$108,884
PREVIOUS REIMBURSEMENTS	\$	47,903
	\$	60,981

Appendix C. Example of Contract Pay Request and Line Item Summary

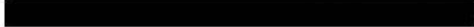
APPLICATION AND CERTIFICATE FOR PAYMENT

Application No. 1 Page 1 of 2

Period from : 6/18/2012 To: 7/16/2012

OWNER:


CONTRACTOR:


PROJECT: 

CONTRACT DATE: June 18, 2012

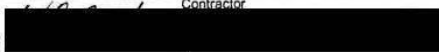
ORIGINAL CONTRACT SUM	<u>\$634,153.90</u>
Change Order No. _____	
Change Order No. _____	
Change Order No. _____	
Net Change by Change Orders	<u>\$0.00</u>
CONTRACT SUM TO DATE	<u>\$634,153.90</u>

Estimate No.	Amount Earned This Estimate	Retainage Held This Estimate	Amount Earned Less Retainage	Less 1% Gross Receipts Tax	Total
<u>One</u>	<u>150,320.00</u>	<u>7,516.00</u>	<u>142,804.00</u>	<u>1,428.04</u>	<u>141,375.96</u>
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
Totals:	<u>150,320.00</u>	<u>7,516.00</u>	<u>142,804.00</u>	<u>1,428.04</u>	<u>141,375.96</u>
				Less Previous Certificates for Payment:	<u>0.00</u>
				Less Liquidated Damages:	<u>0.00</u>
				Current Payment Due:	<u>141,375.96</u>

CONTRACTOR'S CERTIFICATE

The undersigned Contractor certifies that the Work covered by this Application for Payment has been completed in accordance with the Contract Documents, that all amounts have been paid by him for Work for which previous Certificates for payment were issued and payments received from the Owner, and that current payment shown herein is due.


Dated: July 19, 2012

 Contractor
 By 

ENGINEER'S CERTIFICATE FOR PAYMENT

This Application (with accompanying documentation) meets the requirements of the Contract Documents and payment of the above "Current Payment Due" is recommended.

Dated: 07/17/12

 Engineer
 By 



Application and Certification for Payment, containing Contractor's signed Certification is attached. In tabulations below, amounts are stated to the nearest dollar.

Application No. 1

Date 7/16/2012

(A) Item No.	(B) Description of Work	(C) Contract Quantity	(D) Contract Unit Price	(E) Contract Price	(F) Previous Quantity Requested	(G) Current Quantity Completed	(H) Total Quantity Complete To Date	(I) Total Cost	(J) Materials on Site	(K) Less Materials Installed	(L) Amount Earned This Estimate
AA#2(BASE BID)											
AA-2-1	Mobilization (Shall not exceed 10% of AA#2 Total Price)	0.719	LS	\$85,000.00		0	0.360	0.360	\$30,600.00	-	\$30,600.00
AA-2-2	Existing Pavement Section Excavation & Stockpiling On-Site (Runway 12-30 Sta. 28+00 to 20+00)	3,692.883	CY	\$15.00		0	1,846	1,846	\$27,690.00	-	\$27,690.00
AA-2-3	Pulverize In-Place Runway Shoulders (12-inches Deep)	2,940.070	SY	\$5.00		0	2,940	2,940	\$14,700.00	-	\$14,700.00
AA-2-4	Pulverized Asphalt Excavation & Stockpiling On-Site	414.874	CY	\$9.00		0	0	\$0.00	-	-	\$0.00
AA-2-5	Unclassified Excavation & Embankment	1,248.217	CY	\$15.00		0	0	\$0.00	-	-	\$0.00
AA-2-6	Cap Existing Storm Drain Inlets	2.876	EA	\$960.00		0	0	\$0.00	-	-	\$0.00
AA-2-7	Adjust (Lower) Existing Storm Drain Inlets	0.719	EA	\$635.00		0	0	\$0.00	-	-	\$0.00
AA-2-8	Edge Drains (4-inch HDPE)	1,150.431	LF	\$35.00		0	0	\$0.00	\$3,131.96	-	\$3,131.96
AA-2-9	Edge Drain Outfall Connections, Including One Cleanout	2.876	EA	\$885.00		0	0	\$0.00	-	-	\$0.00
AA-2-10	Geotextile Separation Fabric, Class 1	6,519.348	SY	\$8.00		0	0	\$0.00	-	-	\$0.00
AA-2-11	Triaxial Geogrid	6,519.348	SY	\$8.00		0	0	\$0.00	-	-	\$0.00
AA-2-12	Subbase Course	3,802.893	CY	\$40.00		0	0	\$0.00	\$38,408.19	-	\$38,408.19
AA-2-13	Crushed Aggregate Base Course	1,495.560	CY	\$45.00		0	0	\$0.00	\$23,509.57	-	\$23,509.57
AA-2-14	Bituminous Prime Coat (MC-70)	8.916	TON	\$1,100.00		0	0	\$0.00	-	-	\$0.00
AA-2-15	Bituminous Surface Course (2-inches)	757.127	TON	\$30.00		0	0	\$0.00	\$6,140.14	-	\$6,140.14
AA-2-16	Bituminous Tack Coat	2.013	TON	\$1,050.00		0	0	\$0.00	-	-	\$0.00
AA-2-17	Bituminous Surface Course (2-inches)	757.127	TON	\$30.00		0	0	\$0.00	\$6,140.14	-	\$6,140.14
AA-2-18	Bituminous Material, Asphalt Cement (PG64-2B) - 6.0%	90.884	TON	\$750.00		0	0	\$0.00	-	-	\$0.00
AA-2-19	Seeding, Fertilizing, and Mulching	1.366	ACRE	\$3,500.00		0	0	\$0.00	-	-	\$0.00
TOTALS									\$72,990.00		\$150,320.00



Application and Certification for Payment, containing Contractor's signed Certification is attached. In tabulations below, amounts are stated to the nearest dollar.

Application No. 1

Date 7/16/2012

(A) Item No.	(B) Description of Work	(C) Contract Quantity	(D) Contract Unit Price	(E) Contract Price	(F) Previous Quantity Requested	(G) Current Quantity Completed	(H) Total Quantity Complete To Date	(I) Total Cost	(J) Materials on Site	(K) Less Materials Installed	(L) Amount Earned This Estimate
AA#2(BASE BID)											
AA-2-1	Mobilization (Shall not exceed 10% of AA#2 Total Price)	0.719	LS	\$85,000.00		0.360	0.360	\$30,600.00	-	-	\$30,600.00
AA-2-2	Existing Pavement Section Excavation & Stockpiling On-Site (Runway 12-30 Sta. 28+00 to 20+00)	3,692.883	CY	\$15.00		1,846	1,846	\$27,690.00	-	-	\$27,690.00
AA-2-3	Pulverize In-Place Runway Shoulders (12-inches Deep)	2,940.070	SY	\$5.00		2,940	2,940	\$14,700.00	-	-	\$14,700.00
AA-2-4	Pulverized Asphalt Excavation & Stockpiling On-Site	414.874	CY	\$9.00		0	0	\$0.00	-	-	\$0.00
AA-2-5	Unclassified Excavation & Embankment	1,248.217	CY	\$15.00		0	0	\$0.00	-	-	\$0.00
AA-2-6	Cap Existing Storm Drain Inlets	2.876	EA	\$960.00		0	0	\$0.00	-	-	\$0.00
AA-2-7	Adjust (Lower) Existing Storm Drain Inlets	0.719	EA	\$635.00		0	0	\$0.00	-	-	\$0.00
AA-2-8	Edge Drains (4-inch HDPE)	1,150.431	LF	\$35.00		0	0	\$0.00	\$3,131.96	-	\$3,131.96
AA-2-9	Edge Drain Outfall Connections, including One Cleanout	2.876	EA	\$885.00		0	0	\$0.00	-	-	\$0.00
AA-2-10	Geotextile Separation Fabric, Class 1	6,519.348	SY	\$8.00		0	0	\$0.00	-	-	\$0.00
AA-2-11	Triaxial Geogrid	6,519.348	SY	\$8.00		0	0	\$0.00	-	-	\$0.00
AA-2-12	Subbase Course	3,802.893	CY	\$40.00		0	0	\$0.00	\$38,408.19	-	\$38,408.19
AA-2-13	Crushed Aggregate Base Course	1,495.560	CY	\$45.00		0	0	\$0.00	\$23,509.57	-	\$23,509.57
AA-2-14	Bituminous Prime Coat (MC-70)	8.916	TON	\$1,100.00		0	0	\$0.00	-	-	\$0.00
AA-2-15	Bituminous Surface Course (2-inches)	757.127	TON	\$30.00		0	0	\$0.00	\$6,140.14	-	\$6,140.14
AA-2-16	Bituminous Tack Coat	2.013	TON	\$1,050.00		0	0	\$0.00	-	-	\$0.00
AA-2-17	Bituminous Surface Course (2-inches)	757.127	TON	\$30.00		0	0	\$0.00	\$6,140.14	-	\$6,140.14
AA-2-18	Bituminous Material, Asphalt Cement (PG64-28) - 6.0%	90.884	TON	\$750.00		0	0	\$0.00	-	-	\$0.00
AA-2-19	Seeding, Fertilizing, and Mulching	1.366	ACRE	\$3,500.00		0	0	\$0.00	-	-	\$0.00
TOTALS								\$72,990.00			\$150,320.00

INVOICE



July 10, 2012
 Invoice No: 66768

Project 526700.0000

OBSTRUCTION REMOVAL RUNWAY 9-27 (SURVEY & DESIGN) - EXTEND RUNWAY 9-27 PH 3 (ENVIRONMENTAL COORDINATION)

For engineering services performed in connection with the Public Involvement for Environmental Assessment Phase 3, Benefit Cost Analysis (BCA), and Obstruction Evaluation. In accordance with the Agreement dated July 15, 2011.

Professional Services from June 01, 2012 to June 30, 2012

0101 - ADMINISTRATION Fee

Billing Phase	Fee	Percent Complete	Earned	Previous Fee Billing	Current Fee Billing
0101 Administration	7,904.00	70.00	5,532.80	5,532.80	0.00
0102 Benefit Cost Analysis	13,300.00	100.00	13,300.00	13,300.00	0.00
0103 Safety Phasing	3,066.00		0.00	0.00	0.00
0104 Obstruction Design	20,900.00	75.00	15,675.00	10,450.00	5,225.00
0105 Utility Coordination	7,866.00	90.00	7,079.40	7,079.40	0.00
0106 GIS	2,743.00	25.00	685.75	685.75	0.00
0301 Environmental	24,410.00	85.00	20,748.50	18,307.50	2,441.00
0401 Survey	14,262.00	100.00	14,262.00	13,548.90	713.10
Total Fee	94,451.00		77,283.45	68,904.35	8,379.10
Total Fee				8,379.10	
				Total this Phase	\$8,379.10

0301 - ENVIRONMENTAL

Reimbursable Expenses

Legal Notice			43.41		
Total Reimbursables			43.41	43.41	
				Total this Phase	\$43.41

9901 - ADDITIONAL SERVICES

Total this Phase \$0.00

9902 - ADDITIONAL SERVICES - AERIAL SUBCONTRACTOR

Total this Phase \$0.00

Billing Limits	Current	Prior	To-Date
Consultants	0.00	26,674.00	26,674.00
Limit			30,900.00
Remaining			4,226.00

Project	526700.0000	PUBLIC INVOLVEMENT ENVIRONMENTAL PHASE 3		Invoice	66768
Expenses		43.41	610.28	653.69	
Limit				3,200.00	
Remaining				2,546.31	

Total this Invoice

\$8,422.51

Billings to Date

	Current	Prior	Total
Fee	8,379.10	68,904.35	77,283.45
Labor	0.00	2,726.50	2,726.50
Consultant	0.00	26,674.00	26,674.00
Expense	43.41	610.28	653.69
Unit	0.00	490.16	490.16
Totals	8,422.51	99,405.29	107,827.80



Thank You, _____



Appendix D. Example of Sponsor Certification Letter and Supporting Documentation to Support Pay Requests for Elevated Sponsors

Example of Sponsor Certification Letter

St. Augusta Regional Airport

1234 Airport Road, Juniper, TN 55421

I have reviewed the payment request for \$324,640 and certify that it is based on invoices where the billed price is the contract price, the billed quantity agrees with the Authority records, and the contract requirements have been met.

Authorized Signature

[[Name of Airport Director/Grant Signer]]

Example of Supplier Invoice

Aggregate Concrete

5553 Goodie Lane, Timbucktwo, AL 55992

Control No.	734899
Ticket No.	3562780

						Date	Time	Hauler No.	Truck No.
						4/23/2012	1:00 PM	AQR 900	456
Customer No.	Purchase Order No.	Product Code	Sale Type	Zone	Plant No.	Project No.	Loads	Accum Amt.	
896789	12	A1789	Pickup		678	SP-98790	45	\$ 46,067.30	

Customer Name	Job Name/Directions
Point Industries 3456 Address Ave Cornerstone, FL 22222	St. Augusta Regional Airport Runway 12/30 St. Augusta Regional Airport Deliver North side access road; add \$4.00 gas surcharge on all cement products MAX GROSS WEIGHT 80,000; MAX NET 26.93

Product	Quantity Unit	Price	Amount		Pounds	Tons
P-403, Plant Mix Bituminous Pavement	Ton			GROSS	12486000	6243
	Haul Rate			TARE	26140	13.07
	Tax TN			Net	40320	20.16
	Total Due					

I/we relieve the seller of any liability for personal injury or property damage when delivery is made beyond the curb line. (disclaimer)	ARRIVE JOB	DEPART JOB	WAIT TIME
THE PERSON SIGNING THIS DELIVERY TICKET IS AUTHORIZED TO ACCEPT MATERIALS DELIVERED. IN CASE OF EMERGENCY CALL 1-800-HELP-MEE	Authorized Signature:		
	Name/Title (please print)		

Example of Labor Summary

B&D Associates Labor Summary

Item # 2 - Project Assessment

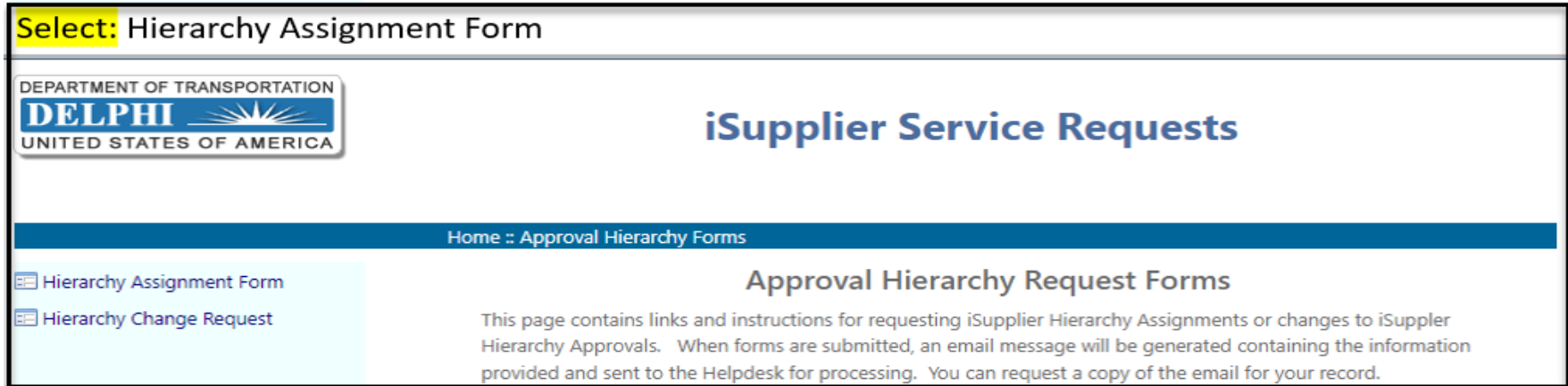
Project Number	Employee	Week Ending	Hours	Rate	Total
66-555-0142-02	Green	3/14/2012	40	118	4720
66-555-0142-02	Brown	3/9/2012	50	118	5900
66-555-0142-02	Jay	3/21/2012	40	118	4720
66-555-0142-02	Green	3/30/2012	40	118	4720
66-555-0142-02	Green	3/9/2012	50	118	5900
66-555-0142-02	Adeal	3/21/2012	40	118	4720
66-555-0142-02	Franklin	3/30/2012	40	118	4720
TOTAL:					\$ 35,400

Appendix E. Hierarchy Assignment Form

Website

<https://support-isupplier.esc.gov>

Select: Hierarchy Assignment Form



DEPARTMENT OF TRANSPORTATION
DELPHI
UNITED STATES OF AMERICA

iSupplier Service Requests

Home :: Approval Hierarchy Forms

- Hierarchy Assignment Form
- Hierarchy Change Request

Approval Hierarchy Request Forms

This page contains links and instructions for requesting iSupplier Hierarchy Assignments or changes to iSupplier Hierarchy Approvals. When forms are submitted, an email message will be generated containing the information provided and sent to the Helpdesk for processing. You can request a copy of the email for your record.

• Required Information

*Submitted By *Submitter Email *Submitter Phone

Select Form Type of **Hierarchy Assignment to a PO**



iSupplier Service Requests

Home :: Approval Hierarchy Forms :: Hierarchy Assignment Form

Hierarchy Assignment Form

Submitted By: *

Kiera King

Submitter Email: *

kiera.king@faa.gov

Submitter Phone: *

4059541804

Copy me when the request is submitted

Select Form Type

- Hierarchy Assignment to a PO Hierarchy Assignment to a Vendor Site Hierarchy Assignment to an Organization (Agency)

- Fill out the required fields *Hierarchy Name and *Grant Number/PO Number
- Select Add to list.
 - You can add multiple grants and hierarchy set ups on one request.
 - Once completed select Submit.

Select Form Type
 Hierarchy Assignment to a PO Hierarchy Assignment to a Vendor Site Hierarchy Assignment to an Organization (Agency)

Hierarchy Name: *

Grant Number/PO Number: *

PO Line Number:

PO Shipment Number:

PO Distribution Number:

[Add To List](#)

Note: You can create as many entries as are needed.

#	Hierarchy Name	Grant Num/PO Num	PO Line Num	PO Shipment Num	PO Distribution Num	...
1	AIP-ASW-AROK-AUTO-10	SWG050042021				Edit Delete
2	AIP-ASW-AROK-AUTO-1	SWG050043018				Edit Delete

[Submit](#)

Appendix F. Approval Hierarchy Request Form

Approval Hierarchy Request Form

Section 1 Organization Information

- 1.1 What is the Operating Administration (OA) for this hierarchy?
- 1.2 Who is requesting this approval hierarchy change?
- 1.3 Request date?

Section 2 Basic Hierarchy Information

- 2.1 What is the unique name for this hierarchy?
- 2.2 What is the effective start date for this change? (optional)
- 2.3 What is the effective end date for this change, if any? (optional)
- 2.4 Hierarchy comments (optional)

Section 3 Auto-Approval Information (optional - only for auto-approved hierarchies)

- 3.1 Is this an auto-approval hierarchy (yes/no)?
- 3.2 If the answer to question 3.1 is YES, what is the payment request amount, as a percentage of the total grant amount that will trigger an FYI notification?
- 3.3 Provide the email addresses, one per cell, for the users who should receive an FYI notification when the threshold defined in 3.2 is reached.
- 3.4 If the answer to question 3.1 is YES, what is the expended balance threshold, as a percentage of the total grant amount that will cause a payment request to require manual approval?

Section 4 Manual Approval Hierarchy Details (required for all hierarchies)

- 4.1 The number of days a payment request will wait for action to be taken before an escalation notification is sent.

Tier 1 (required)

- 4.2 Provide the email addresses, one per cell, for the users in Tier 1 of the manual approval hierarchy.
- 4.3 Provide the email addresses, one per cell, for the users who should receive escalation notifications when the threshold in 4.1 is reached.

Tier 2 (optional)

- 4.4 Provide the email addresses, one per cell, for the users in Tier 2 of the manual approval hierarchy.
- 4.5 Provide the email addresses, one per cell, for the users who should receive escalation notifications when the threshold in 4.1 is reached.

Tier 3 (optional)

- 4.6 Provide the email addresses, one per cell, for the users in Tier 3 of the manual approval hierarchy.
- 4.7 Provide the email addresses, one per cell, for the users who should receive escalation notifications when the threshold in 4.1 is reached.

Tier 4 (optional)

- 4.8 Provide the email addresses, one per cell, for the users in Tier 4 of the manual approval hierarchy.
- 4.9 Provide the email addresses, one per cell, for the users who should receive escalation notifications when the threshold in 4.1 is reached.

Appendix G. SF 425 Form

See [SF 425, Federal Financial Report \(PDF\)](#) at the Grants.gov website

View Burden Statement

Federal Financial Report
(Follow form Instructions)

OMB Number: 4040-0014
 Expiration Date: 02/28/2022

1. Federal Agency and Organizational Element to Which Report is Submitted		2. Federal Grant or Other Identifying Number Assigned by Federal Agency (To report multiple grants, use FFR Attachment)	
3. Recipient Organization (Name and complete address including Zip code)			
Recipient Organization Name: _____			
Street1: _____			
Street2: _____			
City: _____		County: _____	
State: _____		Province: _____	
Country: USA: UNITED STATES		ZIP / Postal Code: _____	
4a. DUNS Number	4b. EIN	5. Recipient Account Number or Identifying Number (To report multiple grants, use FFR Attachment)	
6. Report Type	7. Basis of Accounting	8. Project/Grant Period	9. Reporting Period End Date
<input type="checkbox"/> Quarterly <input type="checkbox"/> Semi-Annual <input type="checkbox"/> Annual <input type="checkbox"/> Final	<input type="checkbox"/> Cash <input type="checkbox"/> Accrual	From: _____ To: _____	_____
10. Transactions			Cumulative
<i>(Use lines a-c for single or multiple grant reporting)</i>			
Federal Cash (To report multiple grants, also use FFR attachment):			
a. Cash Receipts			0.00
b. Cash Disbursements			0.00
c. Cash on Hand (line a minus b)			0.00
<i>(Use lines d-o for single grant reporting)</i>			
Federal Expenditures and Unobligated Balance:			
d. Total Federal funds authorized			0.00
e. Federal share of expenditures			0.00
f. Federal share of unliquidated obligations			0.00
g. Total Federal share (sum of lines e and f)			0.00
h. Unobligated balance of Federal Funds (line d minus g)			0.00
Recipient Share:			
i. Total recipient share required			0.00
j. Recipient share of expenditures			0.00
k. Remaining recipient share to be provided (line i minus j)			0.00
Program Income:			
l. Total Federal program income earned			0.00
m. Program Income expended in accordance with the deduction alternative			0.00
n. Program Income expended in accordance with the addition alternative			0.00
o. Unexpended program income (line l minus line m and line n)			0.00

11. Indirect Expense						
a. Type	b. Rate	c. Period From	Period To	d. Base	e. Amount Charged	f. Federal Share
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
g. Totals:					<input type="text"/>	<input type="text"/>

12. Remarks: Attach any explanations deemed necessary or information required by Federal sponsoring agency in compliance with governing legislation:

13. Certification: By signing this report, I certify to the best of my knowledge and belief that the report is true, complete, and accurate, and the expenditures, disbursements and cash receipts are for the purposes and objectives set forth in the terms and conditions of the Federal award. I am aware that any false, fictitious, or fraudulent information, or the omission of any material fact, may subject me to criminal, civil or administrative penalties for fraud, false statements, false claims or otherwise. (U.S. Code Title 18, Section 1001 and Title 31, Sections 3729-3730 and 3801-3812).

a. Name and Title of Authorized Certifying Official

Prefix: First Name: Middle Name:
 Last Name: Suffix:
 Title:

b. Signature of Authorized Certifying Official

c. Telephone (Area code, number and extension)

d. Email Address

e. Date Report Submitted

14. Agency use only:

Standard Form 425

Appendix H. SF 270 Form

See [SF 270, Request for Advance or Reimbursement](#) (PDF), at the Grants.gov website

OMB Number: 4040-0012
 Expiration Date: 02/28/2022

REQUEST FOR ADVANCE OR REIMBURSEMENT	1. TYPE OF PAYMENT REQUESTED	a. "X" one or both boxes <input type="checkbox"/> ADVANCE <input type="checkbox"/> REIMBURSEMENT b. "X" the applicable box <input type="checkbox"/> FINAL <input type="checkbox"/> PARTIAL	2. BASIS OF REQUEST <input type="checkbox"/> CASH <input type="checkbox"/> ACCRUAL
3. FEDERAL SPONSORING AGENCY AND ORGANIZATIONAL ELEMENT TO WHICH THIS REPORT IS SUBMITTED		4. FEDERAL GRANT OR OTHER IDENTIFYING NUMBER ASSIGNED BY FEDERAL AGENCY	
5. PARTIAL PAYMENT REQUEST NUMBER FOR THIS REQUEST	6. EMPLOYER IDENTIFICATION NUMBER	7. FINANCIAL ASSISTANCE IDENTIFICATION NUMBER	
8. PERIOD COVERED BY THIS REQUEST From: <input type="text"/> To: <input type="text"/>			
9. RECIPIENT ORGANIZATION Name: <input type="text"/> Street1: <input type="text"/> Street2: <input type="text"/> City: <input type="text"/> County: <input type="text"/> State: <input type="text"/> Province: <input type="text"/> Country: <input type="text"/> ZIP / Postal Code: <input type="text"/>			
10. PAYEE (Where check is to be sent if different than item 9) Name: <input type="text"/> Street1: <input type="text"/> Street2: <input type="text"/> City: <input type="text"/> County: <input type="text"/> State: <input type="text"/> Province: <input type="text"/> Country: <input type="text"/> ZIP / Postal Code: <input type="text"/>			

11. COMPUTATION OF AMOUNT OF REIMBURSEMENTS/ADVANCES REQUESTED

PROGRAMS/FUNCTIONS/ ACTIVITIES	(a)	(b)	(c)	TOTAL
a. Total program outlays to date <i>(As of date)</i>	\$	\$	\$	\$
b. Less: Cumulative program income				
c. Net program outlays <i>(Line a minus line b)</i>				
d. Estimated net cash outlays for advance period				
e. Total <i>(Sum of lines c & d)</i>				
f. Non-Federal share of amount on line e				
g. Federal share of amount on line e				
h. Federal payments previously requested				
i. Federal share now requested <i>(Line g minus line h)</i>				
j. Advances required by month, when requested by Federal grantor agency for use in making prescheduled advances	1st month			
	2nd month			
	3rd month			

12. ALTERNATE COMPUTATION FOR ADVANCES ONLY

a. Estimated Federal cash outlays that will be made during period covered by the advance	\$
b. Less: Estimated balance of Federal cash on hand as of beginning of advance period	
c. Amount requested <i>(Line a minus line b)</i>	\$

13. CERTIFICATION

I certify that to the best of my knowledge and belief the data on the reverse are correct and that all outlays were made in accordance with the grant conditions or other agreement and that payment is due and has not been previously requested.

SIGNATURE OR AUTHORIZED CERTIFYING OFFICIAL DATE REQUEST SUBMITTED

TYPED OR PRINTED NAME AND TITLE

Prefix: First Name: Middle Name:

Last Name: Suffix:

Title:

TELEPHONE (AREA CODE, NUMBER, EXTENSION)

This space for agency use

Public reporting burden for this collection of information is estimated to average 60 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0004), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

Appendix I. SF 271 Form

See [SF 271, Outlay Report and Request for Reimbursement for Construction Projects \(PDF\)](#), at the Grants.gov website

OUTLAY REPORT AND REQUEST FOR REIMBURSEMENT FOR CONSTRUCTION PROGRAMS		1. TYPE OF REQUEST <input type="checkbox"/> FINAL <input type="checkbox"/> PARTIAL	2. BASIS OF REQUEST <input type="checkbox"/> CASH <input type="checkbox"/> ACCRUAL
		OMB Number: 4040-0011 Expiration Date: 02/28/2022	
3. FEDERAL SPONSORING AGENCY AND ORGANIZATIONAL ELEMENT TO WHICH THIS REPORT IS SUBMITTED <input type="text"/>		4. FEDERAL GRANT OR OTHER IDENTIFYING NUMBER ASSIGNED BY FEDERAL AGENCY <input type="text"/>	
5. PARTIAL PAYMENT REQUEST NUMBER FOR THIS REQUEST <input type="text"/>	6. EMPLOYER IDENTIFICATION NUMBER <input type="text"/>	7. FINANCIAL ASSISTANCE IDENTIFICATION NUMBER <input type="text"/>	
8. PERIOD COVERED BY THIS REQUEST From: <input type="text"/> To: <input type="text"/>			
9. RECIPIENT ORGANIZATION Name: <input type="text"/> Street1: <input type="text"/> Street2: <input type="text"/> City: <input type="text"/> County: <input type="text"/> State: <input type="text"/> Province: <input type="text"/> Country: <input type="text"/> ZIP / Postal Code: <input type="text"/>			
10. PAYEE (Where check is to be sent if different than item 9) Name: <input type="text"/> Street1: <input type="text"/> Street2: <input type="text"/> City: <input type="text"/> County: <input type="text"/> State: <input type="text"/> Province: <input type="text"/> Country: <input type="text"/> ZIP / Postal Code: <input type="text"/>			

11. STATUS OF FUNDS				
CLASSIFICATION	PROGRAMS	FUNCTIONS	ACTIVITIES	TOTAL
	(a)	(b)	(c)	
a. Administrative expense	\$	\$	\$	\$
b. Preliminary expense				
c. Land, structures, right-of-way				
d. Architectural engineering basic fees				
e. Other architectural engineering fees				
f. Project inspection fees				
g. Land development				
h. Relocation expense				
i. Relocation payments to individuals and businesses				
j. Demolition and removal				
k. Construction and project improvement cost				
l. Equipment				
m. Miscellaneous cost				
n. Total cumulative to date (sum of lines a thru m)				
o. Deductions for program income				
p. Net cumulative to date (line n minus line o)				
q. Federal share to date				
r. Rehabilitation grants (100% reimbursement)				
s. Total Federal share (sum of lines q and r)				
t. Federal payments previously requested				
u. Amount requested for reimbursement	\$	\$	\$	\$
v. Percentage of physical completion of project	%	%	%	%