



**FAA
Airports**

Airport Improvement Program (AIP) 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 noted otherwise the requirements within this policy apply uniformly to all grant sponsors, including those States participating in the State Block Grant Program (SBGP).

Section 2: Payment Request Method

U.S. Department of Transportation (DOT) Electronic Grants Payment System

All sponsors must submit their grant payment requests electronically through the DOT Electronic Grants Payment System, Delphi eInvoicing. All grant sponsor users must complete an e-Authentication process to acquire system access and maintain an active registration in Delphi eInvoicing to ensure timely payment. Further guidance on e-Authentication process is available online at:

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

U.S. DOT Electronic Grants Payment System Waiver Policy

On a very limited basis the DOT's Office of Financial Management may issue sponsors a system waiver that permits payment requests be submitted by hard copy rather than electronically through Delphi eInvoicing. All sponsors requesting a system waiver must first consult with their Regional Office /Airport District Office (RO/ADO) before submitting their request. All sponsors seeking a system waiver must complete the Waiver Request Form (Appendix A) and follow the instructions on the form for submittal. The Federal Aviation Administration (FAA) will only make waiver recommendations to DOT for sponsors that can clearly demonstrate they are unable to use or access the internet to register and enter payment requests through Delphi eInvoicing. Sponsors must provide a copy of their Waiver Request Form to their RO/ADO before submittal for review. All requests will be reviewed by the DOT's Office of Financial Management and sponsors will receive a written response confirming or denying their request from the DOT.

Sponsors issued a system waiver must submit all payment requests through hard paper copy to their appropriate RO/ADO for review. Payment requests must include the completed SF-271, Outlay Report and Request for Reimbursement for Construction Programs, or for non-construction projects, the SF-270, Request for Advance or Reimbursement. An approved equivalent form may also be used in place of these forms. Sponsors must also include any other required supporting documentation associated with their grant payment risk level, as outlined in Table 2: Grant Payment Supporting Documentation Requirements (Table 2). All sponsors issued a system waiver are still expected to meet the payment frequency requirements outlined in Section 3.

Section 3: Payment Request Frequency

Sponsors must initiate a payment request for project accomplishments in accordance with project progress and receipt of contractor invoices. This will typically be monthly but may vary depending on the type of project. It should be noted that continued grant payment inactivity, defined as no drawdowns over a 12 month period, can be cause for termination of a grant agreement. For further guidance on grant termination policies and procedures please coordinate with Airport Compliance Division (ACO) and Airport Improvement Program Branch (APP-520) or refer to the most current version of FAA Order 5100.38 (Airport Improvement Program) and FAA Order 5190.6 (Airport Compliance Manual).

Section 4: Authorized Payment Requesters

Only those users that have successfully completed the eAuthentication process and have been granted access to Delphi eInvoicing may submit payment requests. Sponsors are not limited in the number of users they designate as authorized to request payments on their behalf. 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 requests for accuracy before the sponsor submits a payment request. It is the responsibility of the sponsor to ensure all payment requests are accurate and meet all grant payment requirements.

Section 5: Payment Request Supporting Documentation Requirements

All sponsors are required to provide supporting documentation for all payment requests. Supporting documentation must be uploaded electronically, as attachments to the payment request, in Delphi eInvoicing. The sponsor's grant payment risk level will be used to determine the supporting documentation required to accompany their payment requests.

Section 5.1 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 payments and may differ from the risk level assigned to the sponsor for other grant administration activities defined in the Revised Guidance to FAA's Risk Based Approach to Grant Oversight of the Airport Improvement Program (AIP). Grant payment risk levels will be determined based on the factors illustrated in Table 1, which are established in accordance with the Revised Guidance to FAA's Risk Based Approach to Grant Oversight of the Airport Improvement Program (AIP). All sponsors are considered nominal until a specific issue warrants an increase or decrease in their risk level. The RO/ADO must complete an Oversight Area Risk Documentation Form (Appendix B) to document any change to the sponsor's grant payment risk level.

Table 1: Grant Payment Risk Levels

Grant Payment Risk-Level	Risk Level Factors
Nominal Risk Sponsor	Pose minimal risk of improper use of grant funds.
Moderate Risk Sponsor ¹	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.
Elevated Risk Sponsor	Has a blatant or reckless violation of a grant agreement; Finding of waste, fraud, or abuse; or a repeat of any of the moderate risk factors.

Section 5.2 Supporting Documentation

Supporting documentation must be uploaded electronically to all payment requests in Delphi invoicing. The assigned grant payment risk level for each sponsor will determine the supporting documentation that sponsors must provide with each payment request. See Table 2 for the supporting documentation requirements associated for each grant payment risk level. Supporting documentation must be clearly labeled by sponsors to ensure it is identifiable and searchable. States participating in the State Block Grant Program must also meet the supporting documentation requirements in Table 2. All payment requests from states participating in the SBGP must be based on billed invoices and not requests from sub awardees. As a result, invoice summaries down to the worksite level and billed invoice documentation must be provided as required in Table 2.

In cases where sponsors submit a single payment request combining several grants, required supporting documentation as outlined in Table 2 must still be submitted by the sponsor. Sponsors must breakout supporting documentation to clearly illustrate the grant that expenses are associated with in the payment request. For example, an invoice summary document must be broken out and attached for each grant that is associated with the payment request.

¹ All single grants over \$20 million must be treated as a moderate risk regardless of the sponsors overall payment risk level (excluding the state block grants).

Table 2: Grant Payment Supporting Documentation Requirements

Documentation Requirements	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 name², the date of invoice, invoice number, billed amount, breakout of AIP and Non-AIP participating costs, worksite name, and a short summary of services/material billed (See Appendix C For Example).</p>	X	X	X
<p>Contractor Pay Request²: 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 Director/Grant Signer 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

Pursuant to 49 U.S.C. 47107, it is the sponsor’s responsibility to maintain all original source documentation that supports grant payments from the FAA to the sponsor and payments made by the sponsor for the project. This includes all related documentation for prime as well as sub-contractor payments. These accounting records must be made available upon request to FAA, the DOT’s 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 §200.333, all original documentation that supports grant payments must be retained for three years after the grantee submits the final expenditure report.

² 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.

Section 6: Review and Approval of Payment Requests

Section 6.1 Approval Process Overview

The Delphi invoicing system will automatically check the grant's available balance in Delphi to verify the availability of funds 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 invoicing, 'auto-approval' and 'manual approval.'

Auto-Approval: This is an approval process whereby payment requests do not require approval by the RO/ADO staff and are processed automatically for payment 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 re-routed to a manual approval process requiring RO/ADO staff approval (See Sections 6.9 and 7 for more information). Sponsors that are on an auto-approval process 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 for payment.

Section 6.2 Assignment of Approval Process

Payment approval processes in Delphi invoicing will be assigned on a sponsor level, or in very limited cases, an individual grant level. The RO/ADO will assign each airport sponsor an 'auto-approval' or 'manual approval' process in Delphi invoicing based on the sponsor's grant payment risk level. Table 3: Sponsor Approval Process Requirements specifies the approval process to assign for each grant payment risk level. All nominal grant payment risk level sponsors must be assigned an 'auto-approval' review process. Terminal, environmental, land, planning, parking lots, or multi-year projects may need more oversight but do not always necessarily require it. As a result, only in cases where more oversight is deemed appropriate by the RO/ADO staff; the RO/ADO is permitted to assign a manual approval process to these specific projects under nominal sponsors. All other nominal sponsor grants for projects must be assigned an auto-approval process. All moderate and elevated grant payment risk level sponsors must be assigned a manual approval process in Delphi invoicing. Any sponsor that has been granted a system waiver by DOT must be assigned a manual approval process regardless of their grant payment risk level.

Table 3: Sponsor Approval Process Assignment Requirements

Grant Payment Risk-Level	Delphi elnvoicing Approval Process ³
Nominal	<p>Auto-Approval – No RO/ADO approval required with the exception of payment requests within the final 10 percent of the grant award amount.</p> <p><i>At the discretion of the RO/ADO, specific grants to nominal risk sponsors for terminal, environmental, land, planning, parking lots, and multi-year projects may be assigned a manual approval process. These projects must still meet nominal risk sponsor documentation requirements.</i></p>
Moderate	<p>Manual Approval - Approval hierarchy must include at least one level of RO/ADO approval.</p> <p><i>All grants exceeding \$20 million (excluding state block grants) regardless of sponsor risk level must be assigned a manual approval process.</i></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 Approval Hierarchy

Approval hierarchies are created to assign approval processes for payment requests. Each grant must be assigned an approval hierarchy by which payment requests are routed to the designated RO/ADO staff for electronic approval. It will be the responsibility of the RO/ADO manager to designate the appropriate staff in Delphi elnvoicing to be approvers for specific sponsors and/or grants. This hierarchy can be changed by submitting the Hierarchy Assignment Form (Appendix F) to the Enterprise Services Center (ESC) DOT helpdesk to be processed in the system or filling out the online form⁴. Whenever a new grant is issued the default hierarchy will automatically be assigned to that grant. If, in accordance with the requirements in Table 3, a different hierarchy, needs to be assigned to that particular grant; the RO/ADO must complete a

³ Sponsors that have been granted a system waiver from the U.S. DOT must be assigned a manual approval process in Delphi elnvoicing regardless of their grant payment risk level.

⁴ Delphi elnvoicing Hierarchy forms are also available online at:
http://support-isupplier.esc.gov/hierarchy_forms.aspx.

Hierarchy Assignment Form (Appendix F) or fill out the online form. This form must be sent to the ESC Helpdesk after receiving the Purchase Order (PO) number from the FAA Accounting Technician.

To update, remove, or add FAA approvers to an existing approval hierarchy the RO/ADO manager must complete the Approval Hierarchy Request Form (Appendix G) and send it to the ESC Helpdesk to be processed in the system or fill out the online form. This can be done at any time. It is the responsibility of the RO/ADO manager to ensure approval hierarchies in Delphi eInvoicing are current and accurate. In the limited circumstances where a new approval hierarchy needs to be created the RO/ADO must complete the Approval Hierarchy Request Form (Appendix G) and send it to the ESC Helpdesk to be processed in the system. All new approval hierarchies must maintain the same naming convention to be consistent with existing RO/ADO approval hierarchies. All approval hierarchies must be labeled according to the following naming convention “<AIP>-<RO>-<ADO>-<Approval Process Type>-<Number>.” For example, a manual approval hierarchy in the Washington ADO would be labeled as AIP-AEA-WAS-MANUAL-1 or an auto-approval hierarchy in the Central Region as AIP-ACE-AUTO-1.

Section 6.4 Review of Payment Requests from Sponsors on Manual Approval

The 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. When reviewing the payment request the RO/ADO must ensure that the following criteria are met before approving the payment request:

- The cost is reasonable and allowable;
- All required supporting documentation has been attached to the payment request;
- Work covered by the payment is already completed and in line with the project schedule and/or scope of services; and
- Payment request is consistent with the most recent project progress and financial performance reports provided by the sponsors

A sponsor must only request payment in the amount of allowable project costs that have been incurred by the Sponsor. These are costs that the sponsor has been billed for and paid. However, there are times when advance payments may be necessary. An advance payment is when a sponsor may request payment for services billed but not yet paid by the sponsor. All advance payments must still provide documentation showing that the payment is based upon invoices and billing statements. Please see the most current version of FAA Order 5100.38 (Airport Improvement Program) for more details on advance payment policies.

Section 6.5 Review of Payment Requests from Sponsors Issued a System Waiver

For those sponsors who have been granted a system waiver the process for reviewing payment request will be different because the sponsor must initiate the payment request from outside the system. All sponsors issued a system waiver will submit a hard copy of the payment request to the RO/ADO outside the Delphi eInvoicing system. Once the RO/ADO receives the hard copy payment request they must review it in accordance with the criteria established in Section 6.4. Following the review if the payment request needs to be corrected or cannot be approved then the RO/ADO must contact the sponsor to resubmit a new hard copy payment request with the corrections. Once approved the RO/ADO must forward all payment request materials, including the supporting documentation, to their designated FAA Accounting Technician to be processed manually into Delphi Accounts Payable (A/P) module.

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

There is no approval action necessary for payment requests submitted by sponsors assigned an auto-approval process. However, the RO/ADO staff must still monitor payments on a quarterly basis to ensure the required supporting documentation is uploaded with each request and the draw downs are consistent with sponsor project progress and financial performance. This review must be completed 30 days after the end of each quarter.

During this quarterly review, the RO/ADOs will select payments to review based on the following risk based approach:

Table 4: Payment Review Selection

For sponsor’s payments...	RO/ADOs must select...
Without supporting documentation uploaded.	All payment requests submitted without documentation during the quarter.
With supporting documentation uploaded.	Select one payment per sponsor with the highest dollar amount of payment request submitted during the quarter.

The RO/ADOs must review payment requests for the following:

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

NOTE: If the RO/ADO finds that during their payment review the payment selected does not meet the above quality standards, ALL payments for that sponsor, that quarter, must be reviewed. If a problem is noted, a payment risk level increase may be warranted.

The RO/ADO has the option of continuously reviewing all payment requests where the RO/ADO determines this is necessary and needed due to operational or efficiency issues.

Section 6.7 Approval of Payment Requests

For sponsors on manual approval, the RO/ADO staff will automatically receive e-mail notifications from Delphi eInvoicing when a payment request is submitted by a sponsor and is awaiting action. RO/ADO staff must access Delphi eInvoicing and review payment requests within 30 days of the payment request being made. Upon a 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 (FIFO) accounting basis. Any changes to the accounting lines will be performed by the designated FAA Accounting Technician. 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 sponsors on auto-approval, no approval action is required and the payment will be electronically batched in Delphi and sent to the U.S. Treasury for payment.

Section 6.8 Rejection of Payment Requests

When the RO/ADO staff determines a requested payment amount is not reasonable, allowable, or justified the entire payment request must be rejected in Delphi eInvoicing. No partial payments will be allowed in Delphi eInvoicing. The RO/ADO staff rejecting the payment must provide the reason the payment request was rejected and 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.

When sponsors submit a payment request or an invoice with less than one dollar (\$1.00), FAA accounting will reject the invoice in Delphi eInvoicing. Due to system limitations, Delphi only allows billing amount of one dollar (\$1.00) or more. Sponsors will be notified by the RO/ADO if a payment request is rejected.

With the exception of final payments (Section 6.9), payment requests from sponsors on auto-approval cannot be rejected in Delphi eInvoicing by the RO/ADO staff. If there are any errors in payment requests the sponsor must immediately contact their RO/ADO as well as submit a credit memo, as outlined in Section 7, to correct the payment.

Section 6.9 Final Payment Request

As directed in statute, “Payments totaling not more than 90 percent of United States Government’s share of the project’s estimated allowable cost 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.” (49 U.S.C. § 47111)

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

The RO/ADO may authorize staff to 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. This includes finding the work covered by the payment is already completed and in line with the project schedule and/or scope of service and may be used for its intended purpose; 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.

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.

Conditions:

- the sponsor is in the “Nominal” risk category; and
- the project results in a complete, usable unit of work as defined in the grant agreement;

It shall be the sponsor’s responsibility to submit all required documentation to the RO/ADO, including the contract section, evidencing the sponsor has found the project substantially complete per the contract requirements, for FAA’s consideration in determining whether the project is substantially complete. The FAA is the decision-maker in findings of substantial completeness for purposes of approving payment under this policy.

The RO/ADO may not approve payment for the final 2.5 percent of the grant amount until all required closeout documentation (administrative, technical and financial) is received by the FAA.

Any grants on an auto-approval process will automatically be re-assigned a manual approval process when the total drawdown amount reaches 90 percent of the grant award amount to 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 State Block Grant Program (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. Under 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 ADO process outlined above.

Section 6.10 Holding Payment Requests

If a particular sponsor is determined to be in non-compliance with grant conditions or is indebted to the U.S. Government the RO/ADO staff may put a hold on all payment requests for a particular sponsor in Delphi eInvoicing by contacting their FAA Accounting Technician 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 sponsor has failed to comply with grant conditions, has been notified in writing by the Regional Airports Division Manager,

and has been given an opportunity for a hearing. RO/ADO staff must contact the FAA Office of Airports Compliance, ACO-100, for specific procedures and requirements before attempting to withhold payments for non-compliance.

Section 7: Improper Payments

If a sponsor submits an improper payment in Delphi eInvoicing they must immediately contact their RO/ADO. 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 a credit memo or a refund to the federal government be processed to return the funds. The Sponsor will notify their RO/ADO that they are either offsetting or returning funds for a specific grant. The RO/ADO will verify if the grant is open or closed.

Open Grants

If the grant is open and the Sponsor will be submitting a payment request in Delphi eInvoicing, the following process must be applied:

- Sponsors must contact their RO/ADO and submit a credit memo in Delphi eInvoicing for at least one dollar over the amount of the improper payment received, which may include overpayments or any payments received from the incorrect grant.
- Sponsors must not deduct the improper payment amount from the next payment amount requested.
- Sponsors submitting a credit memo must upload in Delphi eInvoicing supporting documentation, which includes an official letter from the sponsor's authorized representative who accepted the grant explaining the reason for the credit memo.
- All credit memo requests will require approval by the RO/ADO. Credit memo requests will be automatically assigned a manual approval process in Delphi eInvoicing regardless of the sponsor grant payment risk level.
- Approved credit memo requests will be held for 29 days in the system until a subsequent payment request is made that will offset the returned amount.
- If after 29 days no subsequent payment has been made to offset the returned amount, the credit memo will be removed from Delphi eInvoicing and sent to FAA Accounts Receivable (A/R) for collections processing. A bill for collection is sent by A/R to the sponsor.

- Sponsor will send the check to FAA Accounts Receivable (A/R), referencing the Purchase Order (PO) number, to the following address:

DOT/FAA/Mike Monroney Aeronautical Center, AMK-322,
6500 South Macarthur Boulevard
Modular Building 264-7
Oklahoma City, OK 73169-6901

Closed or Open Grants with No Draw Downs Remaining

If the grant is closed, has no further drawdowns, or has no funding available and a refund is necessary, the following process must be applied outside the Delphi eInvoicing system:

- Sponsor notifies the RO/ADO that they are returning funds for a specific grant.
- If appropriate Sponsor should submit supporting documentation for RO/ADO review and approval. RO/ADO notifies their FAA Accounting Technician that the funds will be returned to and provides the associated PO number to be reopened in Delphi (if grant or PO is closed).
- RO/ADO instructs the Sponsor to send the check to FAA Accounts Receivable (A/R) referencing the purchase order number and at the following address:

DOT/FAA, Mike Monroney Aeronautical Center, AMK-322
6500 South Macarthur Boulevard
Modular Building 264-7
Oklahoma City, OK 73169-6901

- Sponsor emails a copy of the refund check to the RO/ADO and FAA Accounting Technician 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 Office of Airports database system. The normal closeout process is followed at this point.

Section 8: Payment

Once payment requests are approved they will be electronically batched in Delphi and sent to the U.S. Treasury for payment to the sponsor's bank through Electronic Funds Transfer (EFT). Approved payment requests are electronically batched daily in Delphi and sponsors should receive their payment within two business days of approval.

Section 9: Financial Reporting

In accordance with 2 CFR §200.327 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 e-Invoicing is limited to grant payments and does not currently 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): This report, or approved equivalent, must be submitted annually for each open grant, due 90 days after the end of each FAA’s fiscal year, by sponsors to monitor 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 §200.327.
- SF – 271, Outlay Report and Request for Reimbursement for Construction Program (Appendix I): This report, or approved equivalent, is used for construction projects only and must be submitted annually, due 90 days after the end of each FAA’s fiscal year, by sponsors to summarize requests for reimbursements. In addition, this report must be submitted as a final financial report during closeout in accordance with 2 CFR §200.343. Please note that only those sponsors issued Delphi eInvoicing system waivers are required to use this form with each payment request as well as annually.
- SF-270, Request for Advance or Reimbursement (Appendix J): This report, or approved equivalent, is used for non-construction projects only and must be submitted annually, due 90 days after the end of each FAA’s fiscal year, by sponsors to summarize requests for reimbursements. In addition, this report must be submitted as a final financial report during closeout in accordance with 2 CFR §200.343. Please note that only those sponsors issued Delphi eInvoicing system waivers are required to use this form with each payment request as well as annually.

Appendix A. System Waiver Request Form

See also the [Waiver Request Form on the Department of Transportation website](#).



U.S. Department of Transportation Delphi Invoicing Payment Request System Waiver Request Form - Instructions

OMB Control Number: 2105-0564
Expiration Date: 09/30/2017

General Instructions

Purpose of Form

The DOT and its Operating Administrations (OA's) are modernizing its financial management systems, and as a result there will be changes to the way grant recipients submit payment requests to the Department. Recipients will be required to have electronic internet access to register in DOT's electronic payment system, Delphi invoicing.

Under limited conditions, DOT Financial Management officials may allow exceptions to the requirement that grantees register in and submit payment requests through the Delphi invoicing system. The enclosed form is used to request a waiver from using the Delphi invoicing system.

Applicability

All recipients of grants or cooperative agreements submitting payment requests to the Department of Transportation must be registered in and submit payment requests through DOT's Delphi invoicing system.

Note: This process is not applicable to grant recipients currently requesting payment electronically through the National Highway Traffic Safety Administration's Grant Tracking System (GTS), the Federal Highway Administration's Rapid Approval State Payment System (RASPS), or the Federal Transit Administration grant recipients currently requesting payment through the Electronic Clearing House Operating System (ECHO).

Waiver Process

If you are unable to access the internet, or are otherwise unable to use the DOT's Delphi invoicing system, your organization must submit and be granted a waiver of compliance. Refer to DOT Form 2770.4 and related instructions for information regarding the waiver process. Recipients may apply for an exemption or waiver by submitting a written waiver request to DOT Office Financial Management. This request must contain the following information:

1. Name, address, grantee institution or entity name, phone number and email address.
2. Recipients must provide specific reasons as to why they are unable to use or access the internet to register and enter payment requests using the online payment system.

All requests should be sent to Director of the Office of Financial Management, US Department of Transportation, B-30, room W93-322, 1200 New Jersey Avenue SE, Washington DC 20590-0001, DOTElectronicInvoicing@dot.gov. DOT Financial Management representatives will not consider requests that are incomplete.

Note: Concerns over system security are not valid reasons and will not be granted a waiver from DOT Financial Management because the Delphi invoicing system is fully secure and meets the latest technical security requirements as proscribed by the Office of Management and Budget and the National Institute of Standards and Technology (NIST).

Once complete and validated by DOT, the Director of the Office of Financial Management will review the request and provide a response approving or denying the request via mail or e-mail to the recipient point of contact. The review process should take approximately thirty (30) days from the time the request is received by the Office of Financial Management.

Mailing Instructions

Mail via certified USPS, UPS, Fedex, etc. to:
US Department of Transportation
Office of Financial Management,
1200 New Jersey Avenue SE, Room W93-322
Washington DC 20590-0001

Paperwork Reduction Act (44 U.S.C. 3501) Burden Statement: A federal agency may not conduct or sponsor, and a person is not required to respond to the requirements of the Paperwork Reduction Act unless that collection of information displays a currently valid OMB Control Number. The OMB Control Number for this information collection is 2105-0564. Public reporting for this collection of information is estimated to be approximately 30 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, completing and reviewing the collection of information. All responses to this collection of information are required to request grant related payments from the DOT. Send comments regarding this burden estimate or any other aspect of this collection, including suggestions for reducing this burden to: Information Collection Clearance Officer, Department of Transportation, 1200 New Jersey Avenue SW, Washington, DC 20590, 5-83.

Privacy Act Statement: Privacy Act Statement (5 U.S.C. § 552a, as amended): AUTHORITY: 31 USC 3512, authorizes DOT to collect this information. PURPOSE(S): DOT will use the information provided to establish your identity prior to your receiving an account within our system, and is intended solely to establish a unique identity and proof thereof. ROUTINE USE(S): In accordance with DOT's system of records notice, DOT/ALL 7 Departmental Accounting and Financial Information System, DAFIS, the information provided may be disclosed to "consumer reporting agencies" as defined in the Fair Credit Reporting Act (15 U.S.C. 1681a(f)) or the Federal Claims Collection Act of 1982 (31 U.S.C. 3701(a)(3)). DISCLOSURE: Provision of the requested information is voluntary; however failure to furnish the requested information may result in an inability of the Department to grant you access to our system.

DOT F 2770.4

OPI: Office of Financial Management, B-30



**U.S. Department of Transportation
Delphi Invoicing system
Waiver Request Form**

Contact Information:

Recipient Legal Name:	
Doing Business As (DBA) Name:	
Point of Contact (POC) Name:	
Phone Number:	
Recipient DUNS Number:	
Recipient Address Line 1:	
Recipient Address Line 2:	
Recipient City/State/Zip Code:	

Waiver Justification:

Provide a detailed justification providing specific reasons as to why the grantee organization is unable to use or access the internet to register and enter payment requests using the online payment system.

Waiver
Justification

Grantee POC Signature

Date

DOT Response Required for Non-concur:

DOT Response

DOT Financial Management Representative Signature

Date

Mail via certified USPS, UPS, FedEx, etc. to:

DOT Enterprise Services Center
FAA Accounts Payable, AMZ-100
PO Box 25710
Oklahoma City, OK 73125

Appendix B. Oversight Area Risk Documentation Form

Oversight Area: TBD²

Date of Risk Determination	Risk Level (Nominal, Moderate, or Elevated)	Reason for Risk Level Rating	Updated By

Oversight Area: TBD²

Date of Risk Determination	Risk Level (Nominal, Moderate, or Elevated)	Reason for Risk Level Rating	Updated By

² Reserved for future oversight area guidance.

Appendix C. 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	St. Augusta Regional Airport	300 hours of project assessment and inspection
Point Industries	4	5/3/2012	6/3/2012	\$325,312.00	\$292,780.00	\$32,532.00	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.
Total Requested					\$324,640.00			

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

PROJECT INFORMATION

Grant Number: 3-XX-XXXX-XX
 Description: Rehabilitate Taxiway
 Reimbursement No.: 4 Federal Share %: 90%

(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

x= Current Invoice Submmital

TOTAL \$
108,884

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

PREVIOUS REIMBURSEMENTS	\$ 47,903
AMOUNT OF THIS REIMBURSEMENT	\$ 60,981

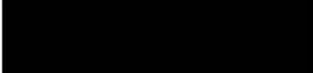
Appendix D. Example of Contract Pay Request and Line Item Summary

Example of Contract Pay Request

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

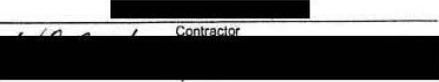
ORIGINAL CONTRACT SUM	<u>\$634,153.90</u>
Change Order No. _____	
Change Order No. _____	
Change Order No. _____	
Net Change by Change Orders	<u>\$0.00</u>
CONTRACT SUM TO DATE	<u>\$634,153.90</u>

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.

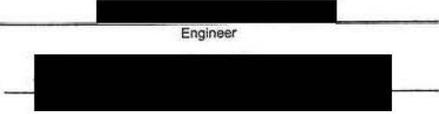
Dated: July 19, 2012

By:  Contractor

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

By:  Engineer



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-2-1	Mobilization (Shall not exceed 10% of AA#2 Total Price)	0.719 LS	\$85,000.00	\$61,115.00	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	\$55,393.25	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	\$14,700.35	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	\$3,733.87	0	0	0	\$0.00	-	-	\$0.00
AA-2-5	Unclassified Excavation & Embankment	1,248.217 CY	\$15.00	\$18,723.26	0	0	0	\$0.00	-	-	\$0.00
AA-2-6	Cap Existing Storm Drain Inlets	2,876 EA	\$960.00	\$2,760.96	0	0	0	\$0.00	-	-	\$0.00
AA-2-7	Adjust (Lower) Existing Storm Drain Inlets	0.719 EA	\$635.00	\$456.57	0	0	0	\$0.00	-	-	\$0.00
AA-2-8	Edge Drains (4-inch HDPE)	1,150.431 LF	\$35.00	\$40,265.09	0	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	\$2,545.26	0	0	0	\$0.00	-	-	\$0.00
AA-2-10	Geotextile Separation Fabric, Class 1	6,519.348 SY	\$5.00	\$32,596.74	0	0	0	\$0.00	-	-	\$0.00
AA-2-11	Triaxial Geogrid	6,519.348 SY	\$8.00	\$52,154.78	0	0	0	\$0.00	-	-	\$0.00
AA-2-12	Subbase Course	3,802.883 CY	\$40.00	\$152,115.72	0	0	0	\$0.00	\$38,408.19	-	\$38,408.19
AA-2-13	Crushed Aggregate Base Course	1,495.560 CY	\$45.00	\$67,300.20	0	0	0	\$0.00	\$23,509.57	-	\$23,509.57
AA-2-14	Bituminous Prime Coat (MC-70)	8,916 TON	\$1,100.00	\$9,807.60	0	0	0	\$0.00	-	-	\$0.00
AA-2-15	Bituminous Surface Course (2-inches)	757,127 TON	\$30.00	\$22,713.81	0	0	0	\$0.00	\$6,140.14	-	\$6,140.14
AA-2-16	Bituminous Tack Coat	2,013 TON	\$1,050.00	\$2,113.65	0	0	0	\$0.00	-	-	\$0.00
AA-2-17	Bituminous Surface Course (2-inches)	757,127 TON	\$30.00	\$22,713.81	0	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	\$68,163.00	0	0	0	\$0.00	-	-	\$0.00
AA-2-19	Seeding, Fertilizing, and Mulching	1,386 ACRE	\$3,500.00	\$4,781.00	0	0	0	\$0.00	-	-	\$0.00
TOTALS				\$634,153.90				\$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 - Total
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 - Fee

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	88,422.51
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 E. Example of Sponsor Certification Letter and Supporting Documentation to Support Pay Requests for Elevated Sponsors

Appendix E - 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
Point Industries 3456 Address Ave Cornerstone, FL 22222

Job Name/Directions
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)

Appendix E - 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 F. Hierarchy Assignment Form

Appendix G. 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 H. SF 425 Form

See also the [SF 425 Form on the FAA website](#).

FEDERAL FINANCIAL REPORT

(Follow form instructions)

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)			Page of 1 pages		
3. Recipient Organization (Name and complete address including Zip code)							
4a. DUNS Number	4b. EIN	5. Recipient Account Number or Identifying Number (To report multiple grants, use FFR Attachment)		6. Report Type <input type="checkbox"/> Quarterly <input type="checkbox"/> Semi-Annual <input type="checkbox"/> Annual <input type="checkbox"/> Final	7. Basis of Accounting <input type="checkbox"/> Cash <input type="checkbox"/> Accrual		
8. Project/Grant Period (Month, Day, Year) From:				9. Reporting Period End Date (Month, Day, Year) To:			
10. Transactions					Cumulative		
<i>(Use lines a-c for single or combined multiple grant reporting)</i>							
Federal Cash (To report multiple grants separately, also use FFR Attachment):							
a. Cash Receipts							
b. Cash Disbursements							
c. Cash on Hand (line a minus b)							
<i>(Use lines d-o for single grant reporting)</i>							
Federal Expenditures and Unobligated Balance:							
d. Total Federal funds authorized							
e. Federal share of expenditures							
f. Federal share of unliquidated obligations							
g. Total Federal share (sum of lines e and f)							
h. Unobligated balance of Federal funds (line d minus g)							
Recipient Share:							
i. Total recipient share required							
j. Recipient share of expenditures							
k. Remaining recipient share to be provided (line i minus j)							
Program Income:							
l. Total Federal share of program income earned							
m. Program income expended in accordance with the deduction alternative							
n. Program income expended in accordance with the addition alternative							
o. Unexpended program income (line l minus line m or line n)							
11. Indirect Expense	a. Type	b. Rate	c. Period From	Period To	d. Base	e. Amount Charged	f. Federal Share
				g. Totals:	0	0	0
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 intent set forth in the award documents. I am aware that any false, fictitious, or fraudulent information may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 18, Section 1001)							
a. Typed or Printed Name and Title of Authorized Certifying Official					c. Telephone (Area code, number, and extension)		
					d. Email Address		
b. Signature of Authorized Certifying Official					e. Date Report Submitted (Month, Day, Year)		
14. Agency use only:							

Standard Form 425 - Revised 10/11/2011
OMB Approval Number: 0348-0061
Expiration Date: 2/28/2015

Paperwork Burden Statement

According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB Control Number. The valid OMB control number for this information collection is 0348-0061. Public reporting burden for this collection of information is estimated to average 1.5 hours 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 (0348-0061), Washington, DC 20503.

Appendix I. SF 271 Form

See also the [SF 271 Form on the OMB website](#).

OUTLAY REPORT AND REQUEST FOR REIMBURSEMENT FOR CONSTRUCTION PROGRAMS		OMB APPROVAL NO. 0348-0002		PAGE OF PAGES					
(See instructions on back)		1. TYPE OF REQUEST <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 NO.					
6. EMPLOYER IDENTIFICATION NUMBER	7. RECIPIENT'S ACCOUNT NUMBER OR IDENTIFYING NUMBER	PERIOD COVERED BY THIS REQUEST							
		FROM (Month, day, year) TO (Month, day, year)							
9. RECIPIENT ORGANIZATION Name: No. and Street: City, State and ZIP Code:		10. PAYEE (Where check is to be sent if different than item 9) Name: No. and Street: City, State and ZIP Code:							
11. STATUS OF FUNDS									
CLASSIFICATION	PROGRAMS --		FUNCTIONS --		ACTIVITIES	TOTAL			
	(a)	(b)	(c)	(d)					
a. Administrative expense	\$	\$	\$	\$	\$	\$			
b. Preliminary expense									
c. Land, structures, right-of-way									
d. Architectural engineering basic fees									
e. Other architectural engineering fee									
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		%	%	%	%	%			
12. CERTIFICATION		a. RECIPIENT		SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL		DATE REPORT SUBMITTED			
I certify that to the best of my knowledge and belief the billed costs or disbursements are in accordance with the terms of the project and that the reimbursement represents the Federal share due which has not been previously requested and that an inspection has been performed and all work is in accordance with the terms of the award.				TYPED OR PRINTED NAME AND TITLE		TELEPHONE (Area code, number, and extension)			
				SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL		DATE SIGNED			
		b. REPRESENTATIVE CERTIFYING TO LINE 11V				TYPED OR PRINTED NAME AND TITLE		TELEPHONE (Area code, number, and extension)	

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Prescribed by OMB Circular A-102 and A-110

INSTRUCTIONS

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.

Please type or print legibly. Items 3, 4, 5, 8, 9, 10, 11s and 11v are self explanatory; specific instructions for other items are as follows:

<i>Item</i>	<i>Entry</i>	<i>Item</i>	<i>Entry</i>
1	Mark the appropriate box. If the request is final, the amounts billed should represent the final cost of the project.	11j	Enter gross salaries and wages of employees of the recipient and payments to third party contractors directly engaged in performing demolition or removal of structures from developed land. All proceeds from the sale of salvage or the removal of structures should be credited to this account; thereby reflecting net amounts if required by the Federal agency.
2	Show whether amounts are computed on an accrued expenditure or cash disbursement basis.	11k	Enter those amounts associated with the actual construction of, addition to, or restoration of a facility. Also, include in this category, the amounts for project improvements such as sewers, streets, landscaping, and lighting.
6	Enter the Employer Identification Number (EIN) assigned by the U.S. Internal Revenue Service or FICE (Institution) code if requested by the Federal agency.	11l	Enter amounts for all equipment, both fixed and movable, exclusive of equipment used for construction. For example, permanently attached laboratory tables, built-in audio visual systems, movable desks, chairs, and laboratory equipment.
7	This space is reserved for an account number or other identifying number that may be assigned by the recipient.	11m	Enter the amounts of all items not specifically mentioned above.
11	The purpose of vertical columns (a) through (c) is to provide space for separate cost breakdowns when a large project has been planned and budgeted by program, function or activity. If additional columns are needed, use as many additional forms as needed and indicate page number in space provided in upper right; however, the summary totals of all programs, functions, or activities should be shown in the "total" column on the first page. All amounts are reported on a cumulative basis.	11n	Enter the total cumulative amount to date which should be the sum of lines a through m.
11a	Enter amounts expended for such items as travel, legal fees, rental of vehicles and any other administrative expenses. Include the amount of interest expense when authorized by program legislation. Also show the amount of interest expense on a separate sheet.	11o	Enter the total amount of program income applied to the grant or contract agreement except income included on line j. Identify on a separate sheet of paper the sources and types of the income.
11b	Enter amounts pertaining to the work of locating and designing, making surveys and maps, sinking test holes, and all other work required prior to actual construction.	11p	Enter the net cumulative amount to date which should be the amount shown on line n minus the amount on line o.
11c	Enter all amounts directly associated with the acquisition of land, existing structures and related right-of-way.	11q	Enter the Federal share of the amount shown on line p.
11d	Enter basic fees for services of architectural engineers.	11r	Enter the amount of rehabilitation grant payments made to individuals when program legislation provides 100 percent payment by the Federal agency.
11e	Enter other architectural engineering services. Do not include any amounts shown on line d.	11t	Enter the total amount of Federal payments previously requested, if this form is used for requesting reimbursement.
11f	Enter inspection and audit fees of construction and related programs.	11u	Enter the amount now being requested for reimbursement. This amount should be the difference between the amounts shown on lines s and t. If different, explain on a separate sheet.
11g	Enter all amounts associated with the development of land where the primary purpose of the grant is land improvement. The amount pertaining to land development normally associated with major construction should be excluded from this category and entered on line k.	12a	To be completed by the official recipient official who is responsible for the operation of the program. The date should be the actual date the form is submitted to the Federal agency.
11h	Enter the dollar amounts used to provide relocation advisory assistance and net costs of replacement housing (last resort). Do not include amounts needed for relocation administrative expenses; these amounts should be included in amounts shown on line a.	12b	To be completed by the official representative who is certifying to the percent of project completion as provided for in the terms of the grant or agreement.
11i	Enter the amount of relocation payments made by the recipient to displaced persons, farms, business concerns, and nonprofit organizations.		

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Appendix J. SF 270 Form

See also the [SF 270 Form on the OMB website](#).

REQUEST FOR ADVANCE OR REIMBURSEMENT <i>(See instructions on back)</i>		OMB APPROVAL NO. 0348-0004		PAGE _____ OF _____ PAGES
		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. RECIPIENT'S ACCOUNT NUMBER OR IDENTIFYING NUMBER	8. PERIOD COVERED BY THIS REQUEST		
		FROM (month, day, year)		TO (month, day, year)
9. RECIPIENT ORGANIZATION Name: Number and Street: City, State and ZIP Code:		10. PAYEE (Where check is to be sent if different than item 9) Name: Number and Street: City, State and ZIP Code:		
11. COMPUTATION OF AMOUNT OF REIMBURSEMENTS/ADVANCES REQUESTED				
PROGRAMS/FUNCTIONS/ACTIVITIES	(a)	(b)	(c)	TOTAL
a. Total program outlays to date <small>(As of date)</small>	\$	\$	\$	\$
b. Less: Cumulative program income				
c. Net program outlays (Line a minus line b)				
d. Estimated net cash outlays for advance period				
e. Total (Sum of lines c & d)				
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 (Line g minus line h)				
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 (Line a minus line b)				\$
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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

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.

INSTRUCTIONS

Please type or print legibly. Items 1, 3, 5, 9, 10, 11e, 11f, 11g, 11i, 12 and 13 are self-explanatory; specific instructions for other items are as follows:

Item	Entry	Item	Entry
2	Indicate whether request is prepared on cash or accrued expenditure basis. All requests for advances shall be prepared on a cash basis.		activity. If additional columns are needed, use as many additional forms as needed and indicate page number in space provided in upper right; however, the summary totals of all programs, functions, or activities should be shown in the "total" column on the first page.
4	Enter the Federal grant number, or other identifying number assigned by the Federal sponsoring agency. If the advance or reimbursement is for more than one grant or other agreement, insert N/A; then, show the aggregate amounts. On a separate sheet, list each grant or agreement number and the Federal share of outlays made against the grant or agreement.	11a	Enter in "as of date," the month, day, and year of the ending of the accounting period to which this amount applies. Enter program outlays to date (net of refunds, rebates, and discounts), in the appropriate columns. For requests prepared on a cash basis, outlays are the sum of actual cash disbursements for goods and services, the amount of indirect expenses charged, the value of in-kind contributions applied, and the amount of cash advances and payments made to subcontractors and subrecipients. For requests prepared on an accrued expenditure basis, outlays are the sum of the actual cash disbursements, the amount of indirect expenses incurred, and the net increase (or decrease) in the amounts owed by the recipient for goods and other property received and for services performed by employees, contracts, subgrantees and other payees.
6	Enter the employer identification number assigned by the U.S. Internal Revenue Service, or the FICE (institution) code if requested by the Federal agency.	11b	Enter the cumulative cash income received to date, if requests are prepared on a cash basis. For requests prepared on an accrued expenditure basis, enter the cumulative income earned to date. Under either basis, enter only the amount applicable to program income that was required to be used for the project or program by the terms of the grant or other agreement.
7	This space is reserved for an account number or other identifying number that may be assigned by the recipient.	11d	Only when making requests for advance payments, enter the total estimated amount of cash outlays that will be made during the period covered by the advance.
8	Enter the month, day, and year for the beginning and ending of the period covered in this request. If the request is for an advance or for both an advance and reimbursement, show the period that the advance will cover. If the request is for reimbursement, show the period for which the reimbursement is requested.	13	Complete the certification before submitting this request.
Note:	The Federal sponsoring agencies have the option of requiring recipients to complete items 11 or 12, but not both. Item 12 should be used when only a minimum amount of information is needed to make an advance and outlay information contained in item 11 can be obtained in a timely manner from other reports.		
11	The purpose of the vertical columns (a), (b), and (c) is to provide space for separate cost breakdowns when a project has been planned and budgeted by program, function, or		

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