



**FAA**  
**Airports**

# **Airport Improvement Program (AIP) Grant Payment and Sponsor Financial Reporting Policy**

Office of Airports  
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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). This policy is effective on the date grant payment activities are transitioned into the Delphi eInvoicing system. [Delphi eInvoicing training](#) (PowerPoint) is available online at [https://www.faa.gov/airports/aip/grant\\_payments/media/Delphi-eInvoicing-External-Training.pptm](https://www.faa.gov/airports/aip/grant_payments/media/Delphi-eInvoicing-External-Training.pptm).

## **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. [Delphi eInvoicing Training Materials](#) are available from DOT at <https://www.transportation.gov/policy-initiatives/delphi-einvoicing-system-training-materials>.

### *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 /Airports 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 the 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 via 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 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. 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 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 Standards and Supporting Documentation Requirements**

#### 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). 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 §§ 200.327 and 328.

The intent of 2 CFR § 200.305 and the CMIA is to minimize the time between the transfer of funds to the 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. However, a sponsor may earn and retain up to \$500.00 per year in interest income to cover its administrative expenses. Any interest earned from Federal fund deposits in excess of \$500.00 annually must be returned to the Federal government. See 2 CFR § 200.305(b)(9) for remittance guidance details. AIP has developed a training resource to help with implementation of the payment policy. To access these materials please visit the AIP payment policy training web site link at: [https://www.faa.gov/airports/aip/grant\\_payments/](https://www.faa.gov/airports/aip/grant_payments/).

## 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.

It is the FAA's policy that 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. 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.

### **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 than the risk level assigned to the sponsor for other grant administration activities defined in the Airport Improvement Program (AIP) Grant Oversight Risk Model Policy. Grant payment risk levels will be determined based on the factors illustrated in Table 1. The RO/ADO must complete an Airport Sponsor Risk Assessment (Appendix B) to document the assignment of a grant payment risk level to each sponsor.

**Table 1: Grant Payment Risk Levels**

<b>Grant Payment Risk-Level</b>	<b>Risk Level Factors</b>
<b>Nominal Risk Sponsor</b>	Poses minimal risk of improper use of grant funds.
<b>Moderate Risk Sponsor<sup>1</sup></b>	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.
<b>Elevated Risk Sponsor</b>	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.

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<sup>1</sup> All single grants over \$20 million must be treated as a moderate risk regardless of the sponsors overall payment risk level.

## Section 5.2 Supporting Documentation

Supporting documentation must be uploaded electronically to all payment requests in Delphi eInvoicing. 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 (SBGP) 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.

**Table 2: Grant Payment Supporting Documentation Requirements**

Documentation Requirements	Nominal Risk Sponsor	Moderate Risk Sponsor	Elevated Risk Sponsor
<b>Invoice Summary:</b> A summary document generated by the sponsor that includes the following information for each Pay Application/Invoice: contractor name <sup>2</sup> , the date of invoice, invoice number, billed amount, breakout of AIP and Non-AIP participating costs, invoice payment due date, worksite name, and a short summary of services/material billed (See Appendix C For Example).	X	X	X
<b>Contractor Pay Request:</b> Each Pay Application/Invoice with Line Item Summary from contractor (See Appendix D for Examples).		X	X

<sup>2</sup> 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.

Documentation Requirements	Nominal Risk Sponsor	Moderate Risk Sponsor	Elevated Risk Sponsor
<p><b>Sponsor Certification Letter &amp; Other Supporting Documentation:</b> 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>			<p><b>X</b></p>

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 the FAA, 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 all documentation that supports grant payments must be retained for three years after the grantee submits the final expenditure report.

**Section 5.3 Matching/Cost-Sharing Requirements**

When an award has specific cost-sharing (also known as matching) requirements as outlined in 2 CFR § 200.306, such costs must:

- Be verifiable from the sponsor’s financial system of record;
- Be excluded as contributions for any other Federal award;
- Be necessary and reasonable for accomplishment of project or program objectives;
- Be allowable under the Uniform Guidance and FAA policy, and included in the approved budget; and
- Not be 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 matching or cost sharing requirements of other Federal program.

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 or matching, may be included as part of cost sharing only with the prior approval of the FAA.

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

In the event 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.

The sponsor may submit a credit memo in Delphi eInvoicing to offset the overpayment against future expenditures if all of the following are present:

- The invoice is accurate and correct;
- The period of performance of the award has not expired;
- There are funds remaining on the purchase order; and
- Within 29 days from the day of the submitted credit memo, the sponsor will submit subsequent reimbursement request(s) and the total must be \$1.00 or greater than the overpayment/credit memo amount.

After approval by the designated approving official, the credit memo will interface with Delphi and automatically be put on hold. When a subsequent reimbursement request is submitted, Enterprise Services Center (ESC) personnel will manually offset the two amounts and pay out the difference.

If future Federal expenditures will be insufficient to offset the overpayment, the sponsor will be required to refund the overpayment to the FAA with a check or direct deposit. If the overpayment occurred or was uncovered at the end of the period of performance of the award, the sponsor will be required to submit the refund with a check or direct deposit only; the credit memo option is not available at the end of the period of performance of the award.

## **Section 6: Review and Approval of Payment Requests**

### **Section 6.1 Approval Process Overview**

The Delphi eInvoicing 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 eInvoicing: "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 eInvoicing 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 eInvoicing 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 eInvoicing. Any sponsor that has been granted a system waiver by the 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 eInvoicing Approval Process <sup>3</sup>
<b>Nominal</b>	<p>Auto-Approval – No RO/ADO approval required except for 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>
<b>Moderate</b>	<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>

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

Grant Payment Risk-Level	Delphi eInvoicing Approval Process <sup>3</sup>
<b>Elevated</b>	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.

### Section 6.3 Approval Hierarchy

Approval hierarchies are created to assign approval processes for payment requests. It is the responsibility of the RO/ADO manager to designate approvers for specific sponsors and/or grants to a hierarchy, by which payment requests are routed to the designated RO/ADO staff for electronic approval. When a new grant is issued, the RO/ADO must assign a hierarchy for that grant. To establish or change a hierarchy, the RO/ADO manager may submit the Hierarchy Assignment Form (Appendix F) to the help desk. The form may also be submitted electronically at:

[https://support-isupplier.esc.gov/hierarchy\\_forms](https://support-isupplier.esc.gov/hierarchy_forms).

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. 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 the Federal share 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 the Federal share of 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.

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. Approved payment requests are electronically batched daily in Delphi and sponsors should receive their payment within two business days of approval.

### **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. If the payment request needs to be corrected or cannot be approved following the review, 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 drawdowns are consistent with sponsor project progress and financial performance reporting. During this quarterly review the RO/ADOs must select at least one grant per sponsor to review all payment requests 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 is consistent with the quarterly construction progress reports submitted by the sponsor for the project; and
- There are no findings of any obvious unreasonable or unallowable costs.

RO/ADO staff must document this quarterly review by printing, reviewing, and initialing each payment request. These documents should then be placed in the project file.

### **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 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 and sponsors should receive their payment within two business days of approval.

### **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. ECS accounting technician will cancel the payment request and notify the RO/ADO for appropriate actions.

Except for 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 49 U.S.C. § 47111 Payments under project grant agreement, “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.”

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”<sup>4</sup> 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.

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

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<sup>4</sup> 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.

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 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 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.

Sponsors are required to obtain and maintain a current active registration in SAM.gov for the period of performance of the Federal award<sup>5</sup>. This requirement lasts until the later of the submission of the final financial report or the sponsor’s receipt of the final payment. Currently, SAM.gov utilizes Dun & Bradstreet’s Data Universal Numbering System (DUNS®), a nine-digit number, as the unique identifier for applicants and grantees receiving Federal financial assistance. In the near future, SAM.gov will transition from DUNS® to a SAM-generated unique entity identifier (UEI). The UEI is

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<sup>5</sup> 2 CFR §§ 25.110; 200(b); Appx. A, Sect. C.(1)

a 12-character alpha-numeric value. Failure to maintain a current, active SAM.gov registration—either DUNS® or a UEI—is grounds for holding payment requests.<sup>6</sup> The Federal Government is currently working on this transition and more information will be forthcoming.

## **Section 7: Improper Payments**

An improper payment<sup>7</sup> is any payment that should not have been made or that was made in an incorrect amount (including overpayments and underpayments) under statutory, contractual, administrative, or other legally applicable requirements. This also includes payment to an ineligible party, any 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 where insufficient or lack of documentation prevents a reviewer from discerning whether a payment was proper. When an improper payment results in a monetary loss to the Federal government the funds must be recovered.<sup>8</sup>

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 (refund to the Federal government) be processed to return the funds. The Sponsor will notify their RO/ADO that they are returning funds for a specific grant. The RO/ADO will verify if the grant is open or closed.

## **Section 8: Award Funds Status at Closeout**

### Open Grants with Funds Remaining

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 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.

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<sup>6</sup> Sect. I. A. of Appx. A to 2 § CFR 25

<sup>7</sup> 2 CFR §§ 200.53 and 428; and PL 112-248.

<sup>8</sup> 2 CFR §§ 200.345, 410 and 411

- 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 referencing the Purchase Order purchase order (PO) number to the following address:

DOT/Federal Aviation Administration  
 General Accounting  
 ESC/AMK 325  
 6500 S. MacArthur Blvd  
 Oklahoma City, OK 73169

Closed Grant or Open Grant with No Funds Remaining

When a grant is closed or is open but has no funding available and a credit memo (refund) is necessary, the refund may be handled in one of two ways. The sponsor may either issue a check or offset the Federal debt against a current award. Collecting a refund via a check takes place. The following process must be applied outside the Delphi eInvoicing system, and the process is as follows:

- 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/Federal Aviation Administration  
 General Accounting  
 ESC/AMK 325  
 6500 S. MacArthur Blvd  
 Oklahoma City, OK 73169

- 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.

If a grant is closed or is open but with no available funds, the sponsor may, with approval of the FAA, offset the balance due to the FAA against incurred costs of a current AIP award. The offset applies to a debt and not to the disallowed expenditures.<sup>9</sup> If the offset process is used to recover a refund due to the FAA, following are the steps to complete the process:

- The FAA must establish the existence of a Federal debt in accordance with 2 CFR § 200.345. RO/ADO will submit a letter to the sponsor citing the amount of debt; repayment terms; reference both the award and the debt that was established under and the award to which the offset will apply.
- RO/ADO will establish a special condition on both awards (i.e., award from which the refund arose and award to which the offset will apply) to note the refund amount, offset terms and other pertinent matters.
- Special conditions will be closed once the refund due has been satisfied.

## 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 eInvoicing 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 Federal fiscal year, by sponsors 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 § 200.327 and 2 CFR § 200.343.
- **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 Federal fiscal year, by sponsors 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 § 200.343. 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.

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<sup>9</sup> Costs incurred under one award and applied or offset against a different award may result in ADA violations if the receiving award was issued subsequent to the incurred costs.

- **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 Federal fiscal year, by sponsors 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 § 200.343. 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.

**All valid obligations incurred under the Federal award must be liquidated within 90 days of the end of the period of performance, and a final financial report (and all other required reports) must be submitted by the end of the liquidation period. If the sponsor has unpaid obligations that can't be settled within the 90-day period, the sponsor may submit a liquidation extension request to the FAA (usually in 30-day increments), based on the estimated amount of time needed to satisfy the unpaid obligations. Once all obligations have been satisfied, the sponsor must submit the final financial report for review and closeout of the award.**

## Appendix A. System Waiver Request Form

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

	<b>U.S. Department of Transportation</b> <b>Delphi Invoicing Payment Request System</b> <b>Waiver Request Form - Instructions</b>	OMB Control Number: 2105-0564 Expiration Date: 09/30/2017
<b>General Instructions</b>		
<b>Purpose of Form</b>		
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.		
<b>Applicability</b>		
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).		
<b>Waiver Process</b>		
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:		
<ol style="list-style-type: none"><li>1.Name, address, grantee institution or entity name, phone number and email address.</li><li>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.</li></ol>		
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, <a href="mailto:DOTElectronicInvoicing@dot.gov">DOTElectronicInvoicing@dot.gov</a> . 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).		
DOT F 2770.4		OPF: 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



FAA  
Airports

### 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 PM's 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 PM's 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.)

## Checklist

### 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 eInvoicing- to determine improper draws (i.e. no attachments, wrong or inconsistent amounts, etc.)

"Delphi Grant Balance Detail" report in SOAR- to review grant activity

(Staff need only consider grants *issued* in the last 3 fiscal years.)

- 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

### 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 AIP fund 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.

*(Staff need only consider grants **issued** in the last 3 fiscal years.)*

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

**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.

- AIP Grant Status Report (Form 5100-107) in SOAR-review for past grant amendments. (Staff need only consider grants *issued* in the last 3 fiscal years.)

- 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

**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 through 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 Yes, answer questions 2 through 4.  
If No, go to question 2G.
- 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 yes, answer questions 2 through 6.

If No, you are done.

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 C. Example of Invoice Summary**

**Summary of Sponsor Invoice # 15**

*Grant # 3-00-0000-001-2011*

<b>Contractor/Consultant Name</b>	<b>Contractor Invoice #</b>	<b>Invoice Date</b>	<b>Due Date</b>	<b>Billed Amount</b>	<b>AIP Costs</b>	<b>Non-AIP Costs</b>	<b>Worksite Name</b>	<b>Short Summary of Services/Materials Billed</b>
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.
<b>Total Requested</b>					<b>\$324,640.00</b>			

**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
<b>Administrative</b>										
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
<b>Engineering - Design Services</b>										
<b>AIP Consultants, Inc.: (2012D127)</b>	\$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
<b>Design, Bid Services</b>			x	<b>2012D127-4</b>	<b>4/1/12</b>	<b>5/1/12</b>	<b>\$ 5,000.00</b>	<b>\$ 5,000.00</b>	<b>\$ -</b>	<b>\$ 4,500</b>
<b>Construction Phase Services - Observation and Testing</b>										
<b>AIP Consultants, Inc.: (#2012C157)</b>	\$75,000.00	\$0.00								
<b>Construction Services-March2012</b>			x	<b>2012C157-1</b>	<b>4/1/12</b>	<b>5/1/12</b>	<b>\$ 2,500.00</b>	<b>\$ 2,500.00</b>	<b>\$ -</b>	<b>\$ 2,250</b>
<b>Construction Services-April 2012</b>			x	<b>2012C157-2</b>	<b>5/1/12</b>	<b>6/1/12</b>	<b>\$ 10,257.00</b>	<b>\$ 10,257.00</b>	<b>\$ -</b>	<b>\$ 9,231</b>
<b>Construction</b>										
<b>Airport Paving Inc.</b>	\$800,000.00	\$0.00								
<b>Construct Taxiway</b>			x	<b>1</b>	<b>6/1/12</b>	<b>7/1/12</b>	<b>\$ 50,000.00</b>	<b>\$ 50,000.00</b>	<b>\$ -</b>	<b>\$ 45,000</b>
<b>= Current Invoice Submittal</b>										

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

	<b>TOTAL</b>	\$108,884
<b>PREVIOUS REIMBURSEMENTS</b>	\$	47,903
	\$	<b>60,981</b>

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

APPLICATION AND CERTIFICATE FOR PAYMENT					
Application No.	<u>1</u>			Page	<u>1</u> of <u>2</u>
Period from :	<u>6/18/2012</u>	To:	<u>7/16/2012</u>		
OWNER:	[REDACTED]			CONTRACTOR:	[REDACTED]
PROJECT:	[REDACTED]				
CONTRACT DATE:	<u>June 18, 2012</u>				
ORIGINAL CONTRACT SUM				<u>\$634,153.90</u>	
Change Order No.	<u>        </u>	<u>        </u>			
Change Order No.	<u>        </u>	<u>        </u>			
Change Order No.	<u>        </u>	<u>        </u>			
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: <u>July 19, 2012</u>					
By: <u>[REDACTED]</u> 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: <u>07/17/12</u>					
By: <u>[REDACTED]</u> Engineer					
[REDACTED]					

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
<b>AA#2 (BASE BID)</b>											
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)	3,692.893	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 (PG64-28) - 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
<b>TOTALS</b>					<b>\$634,153.90</b>			<b>\$72,990.00</b>			<b>\$150,320.00</b>



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
<b>AA#2 (BASE BID)</b>											
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	\$0.00	-	-	\$0.00
AA-2-5	Unclassified Excavation & Embankment	1,248.217	CY	\$15.00	0	0	0	\$0.00	-	-	\$0.00
AA-2-6	Cap Existing Storm Drain Inlets	2.876	EA	\$960.00	0	0	0	\$0.00	-	-	\$0.00
AA-2-7	Adjust (Lower) Existing Storm Drain Inlets	0.719	EA	\$635.00	0	0	0	\$0.00	-	-	\$0.00
AA-2-8	Edge Drains (4-inch HDPE)	1,150.431	LF	\$35.00	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	0	0	0	\$0.00	-	-	\$0.00
AA-2-10	Geotextile Separation Fabric, Class 1	6,519.348	SY	\$8.00	0	0	0	\$0.00	-	-	\$0.00
AA-2-11	Triaxial Geogrid	6,519.348	SY	\$8.00	0	0	0	\$0.00	-	-	\$0.00
AA-2-12	Subbase Course	3,802.893	CY	\$40.00	0	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	\$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	\$0.00	-	-	\$0.00
AA-2-15	Bituminous Surface Course (2-inches)	757.127	TON	\$30.00	0	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	\$0.00	-	-	\$0.00
AA-2-17	Bituminous Surface Course (2-inches)	757.127	TON	\$30.00	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	0	0	0	\$0.00	-	-	\$0.00
AA-2-19	Seeding, Fertilizing, and Mulching	1.366	ACRE	\$3,500.00	0	0	0	\$0.00	-	-	\$0.00
<b>TOTALS</b>								<b>\$72,990.00</b>			<b>\$150,320.00</b>

# 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
<b>Total Fee</b>	<b>94,451.00</b>		<b>77,283.45</b>	<b>68,904.35</b>	<b>8,379.10</b>
			<b>Total this Phase</b>	<b>8,379.10</b>	<b>\$8,379.10</b>

#### 0301 - ENVIRONMENTAL

##### Reimbursable Expenses

Legal Notice			43.41		
<b>Total Reimbursables</b>			<b>43.41</b>	<b>43.41</b>	
			<b>Total this Phase</b>		<b>\$43.41</b>

#### 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
<b>Totals</b>	<b>8,422.51</b>	<b>99,405.29</b>	<b>107,827.80</b>



Thank You, \_\_\_\_\_







**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	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)		

Appendix E - Example of Labor Summary

**B&D Associates Labor Summary**

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**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
				<b>TOTAL:</b>	<b>\$ 35,400</b>



## 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 [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: <span style="border: 1px solid red; display: inline-block; width: 400px; height: 15px;"></span>			
Street1: <span style="border: 1px solid red; display: inline-block; width: 250px; height: 15px;"></span>			
Street2: <span style="border: 1px solid red; display: inline-block; width: 250px; height: 15px;"></span>			
City: <span style="border: 1px solid red; display: inline-block; width: 150px; height: 15px;"></span>		County: <span style="border: 1px solid red; display: inline-block; width: 150px; height: 15px;"></span>	
State: <span style="border: 1px solid red; display: inline-block; width: 150px; height: 15px;"></span>		Province: <span style="border: 1px solid red; display: inline-block; width: 150px; height: 15px;"></span>	
Country: USA: UNITED STATES		ZIP / Postal Code: <span style="border: 1px solid red; display: inline-block; width: 150px; height: 15px;"></span>	
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: <span style="border: 1px solid red; display: inline-block; width: 50px; height: 15px;"></span> To: <span style="border: 1px solid red; display: inline-block; width: 50px; height: 15px;"></span>	<span style="border: 1px solid red; display: inline-block; width: 100px; height: 15px;"></span>
<b>10. Transactions</b>			Cumulative
<i>(Use lines a-c for single or multiple grant reporting)</i>			
<b>Federal Cash (To report multiple grants, also use FFR attachment):</b>			
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>			
<b>Federal Expenditures and Unobligated Balance:</b>			
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
<b>Recipient Share:</b>			
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
<b>Program Income:</b>			
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"/>						
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 I. 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

<b>REQUEST FOR ADVANCE OR REIMBURSEMENT</b>	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 <input style="width: 100%;" type="text"/>		4. FEDERAL GRANT OR OTHER IDENTIFYING NUMBER ASSIGNED BY FEDERAL AGENCY <input style="width: 100%;" type="text"/>	
5. PARTIAL PAYMENT REQUEST NUMBER FOR THIS REQUEST <input style="width: 100%;" type="text"/>	6. EMPLOYER IDENTIFICATION NUMBER <input style="width: 100%;" type="text"/>	7. FINANCIAL ASSISTANCE IDENTIFICATION NUMBER <input style="width: 100%;" type="text"/>	
8. PERIOD COVERED BY THIS REQUEST From: <input style="width: 50px;" type="text"/> To: <input style="width: 50px;" type="text"/>			
9. RECIPIENT ORGANIZATION Name: <input style="width: 95%;" type="text"/> Street1: <input style="width: 90%;" type="text"/> Street2: <input style="width: 90%;" type="text"/> City: <input style="width: 60%;" type="text"/> County: <input style="width: 50%;" type="text"/> State: <input style="width: 80%;" type="text"/> Province: <input style="width: 60%;" type="text"/> Country: <input style="width: 90%;" type="text"/> <span style="float: right;">▼</span> ZIP / Postal Code: <input style="width: 50%;" type="text"/>			
10. PAYEE (Where check is to be sent if different than item 9) Name: <input style="width: 95%;" type="text"/> Street1: <input style="width: 90%;" type="text"/> Street2: <input style="width: 90%;" type="text"/> City: <input style="width: 60%;" type="text"/> County: <input style="width: 50%;" type="text"/> State: <input style="width: 80%;" type="text"/> Province: <input style="width: 60%;" type="text"/> Country: <input style="width: 90%;" type="text"/> <span style="float: right;">▼</span> ZIP / Postal Code: <input style="width: 50%;" 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 &amp; 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 J. SF 271 Form

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

<b>OUTLAY REPORT AND REQUEST FOR REIMBURSEMENT FOR CONSTRUCTION PROGRAMS</b>		<b>1. TYPE OF REQUEST</b> <input type="checkbox"/> FINAL <input type="checkbox"/> PARTIAL	<b>2. BASIS OF REQUEST</b> <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	%	%	%	%