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## **1600 - Grant Closeout**

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The completion of a project does not end with the physical completion of the work. After the project has been completed, the sponsor must submit required documentation to initiate the closure of the grant. Generally, the closeout documentation addresses:

1. The physical completion of work
2. Administrative closeout documentation and
3. Financial closeout documentation

### **Timely Submittal of Closeout Documentation**

The sponsor must strive to submit all final closeout documentation within 90 days of the final payment to the contractor. Grants should not be open for more than four years from when the grant was issued. Beginning in fiscal year 2016 this four-year closeout requirement was formalized by including a 4-year period of performance in the grant agreement.

### **Closeout Process**

The FAA will review the submitted closeout documentation to assess whether claimed costs are reasonable, supported by appropriate documentation, and eligible under the AIP program. Upon approval of the final project documentation, the FAA program manager will authorize (typically via e-mail) the sponsor to make the final drawdown. After the final transfers of funds occur, the FAA project will initiate a letter to the sponsor indicating the project is fiscally closed. The table on the following page outlines the required closeout documentation for different types of AIP grants.

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**REQUIRED DOCUMENTATION – Closeout Submittal Requirement by Grant Type**

| <b>Grant Type / Required Documentation</b>                                       | <b><u>Design/RA</u></b> | <b><u>Construction</u></b> | <b><u>Equipment</u></b> | <b><u>Planning</u></b> | <b><u>Envir.</u></b> | <b><u>Land</u></b> |
|--|-------------------------|----------------------------|-------------------------|------------------------|----------------------|--------------------|
| Sponsor Amendment Request*   | x                       | x                          | x                       | NA                     | NA                   | x                  |
| <a href="#"><u>SF-270/SF-271 (Final Outlay Report)</u></a>                       | SF-271                  | SF-271                     | SF-271                  | SF-270                 | SF-270               | SF-271             |
| <a href="#"><u>SF-425 (Final Federal Financial Report)</u></a>                   | x                       | x                          | x                       | x                      | x                    | X                  |
| Final Payment Invoices and/or Receipts (all final invoices that exceeds \$1,000) | x                       | x                          | x                       | x                      | x                    | x                  |
| Final Cumulative Invoice Summary   | x                       | x                          | x                       | x                      | x                    | x                  |
| OMB Audit A-133*   | x                       | x                          | x                       | x                      | x                    | x                  |
| Updated Exhibit A  |                         |                            |                         |                        |                      | x                  |
| Certificate of Title/Proof of Land Grant & Assurances Recorded                   |                         |                            |                         |                        |                      | x                  |
| Final Report   |                         | x                          | x                       |                        |                      |                    |
| As-built ALP*  |                         | x                          |                         |                        |                      |                    |
| Design/As-built AGIS Survey*   | x                       | x                          |                         |                        |                      |                    |
| 5010 Updates*  |                         | x                          |                         | x                      |                      |                    |
| Airport Chart/Diagram Mod*   |                         | x                          |                         | x                      |                      |                    |
| Part 139 Sign/Marking Plan*  |                         | x                          |                         |                        |                      |                    |

\* - as applicable, see details for each item below **Error! Not a valid link.**

The rest of this section details the items described in the table above.

**Sponsor Amendment Request Letter:**

If the incurred eligible costs exceed the original Federal obligation, the sponsor may make a written request to amend the grant amendment. The sponsor must provide adequate justification for the increase. The FAA will review the request for a determination of reasonableness and eligibility. The FAA does not guarantee funds will be readily available to cover such eligible overages. The process to fund a grant amendment can take several months.

**NOTE: Upward amendments are not allowed for planning grants. Statute dictates that development grants may not be increased by more than 15% of the original obligation. Available entitlement funds will be utilized to fund the increases.**

**SF-270/271 and SF-425**

These documents summarize the financials of each grant. They are required closeout documents for all federally issued FAA grants. The latest versions of these forms and directions on how to complete the forms may be found at the link below.



<https://www.faa.gov/airports/resources/forms/>

### **Final Payment Invoices and Receipts**

Per Table 5-33, item a.4 of the AIP handbook all claimed expenses exceeding \$1,000 must be supported by final invoices, receipts, vouchers, personnel activity reports, or other verifiable documentation. Please submit a copy of these items with the final closeout documentation to your FAA program manager.

### **Final Cumulative Invoice Summary**

Invoice summaries are required for each grant drawdown within the DOT's automated grant payment system, DELPHI. Please include the final summary, or a similar summary, detailing all grant expenditures with the project closeout documentation. On some projects, uploading this document with the final DELPHI drawdown request may suffice.

### **OMB Audit A-133**

Grant assurance #13 and Federal Regulation 49 CFR Part 18 require sponsors that expend \$ 750,000 or more in a year in Federal funds to conduct a single or program-specific audit for that year in accordance with the Single Audit Act of 1984 (as amended) and OMB Circular A-133 "Audits of States, Local Governments and Nonprofit Organization". The Single Audit Act of 1984 establishes the procedures to ensure uniformity in the process of conducting audits. This audit is typically not available at the same time as the grant closeout.

**Submittal:** Once completed, the sponsor shall submit the audit report online to the Federal Audit Clearinghouse at <https://harvester.census.gov/facides/>. Audit reports may no longer be mailed to the clearinghouse. There are additional resources and instructions on their website.

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## **1610 – Design/RA Only Closeout**

Design only grants may be closed once the following items have been completed:

1. The project has been successfully bid and awarded
2. AGIS design data has been submitted and validated (when applicable)
3. All applicable final payments have been made

As specified in the table above please submit the final SF271, SF425, Final Payment invoices and receipts, final invoice summary, sponsor letter or email confirming the above the 3 items have been completed and amendment request letter, if applicable.



## 1620 - Construction Project Closeout

The construction grant may be closed once the following items have been completed

1. The project is physically completed and the sponsor has completed the final inspection and verifies that all punch list items have been addressed.
2. All required commissioning, inspection, initial flight check, and/or acceptance requirements are done (if applicable to the project).
3. A complete and useable facility is fully available for its intended use.
4. The sponsor has received the as-built plans.

**NOTE:** The sponsor must request and retain a set of as-built project drawings for future reference. It is not necessary to submit copies of the record drawings to the FAA unless specifically requested by the FAA project manager. Projects that include work on FAA facilities do require submittal of record drawings to the FAA at the conclusion of the project and as addressed within the reimbursable agreement.

Please confirm the above 4 items have been completed and, as specified in the table above, please submit the SF271, SF425, final payment, invoices, and receipts, final invoice summary, final construction report (detailed below) and as applicable, the sponsor amendment request letter, and confirm transmittals and acceptance of the following updated documents (also detailed below):

- ALP
- 5010
- Airport Diagram
- Part 139 Sign and Marking Plan
- As-built survey

**Final Construction Report** - The sponsor/consultant shall prepare and submit a final construction report that provides an appropriate and accurate record of the project.

The extent of this report will vary depending on the type and size of the project. If need be, consult your FAA program manager to address questions regarding what items the final report should address. Unless otherwise approved by the FAA program manager, the report shall address the following items:

- **Brief Narrative of Work Accomplished;**
  - Include explanation for any deleted work items
  - Provide brief description of non-participating work items
- **Project Photographs**
  - Include a representative number of photographs that depict major elements of the project prior to the improvement and after completion of construction
- **Summary of Key Milestone Dates**
  - Receipt of Bids
  - Notice-To-Proceed
  - Substantial Completion
  - Contract Date
  - Final Inspection
    - Attach the final inspection record with any remaining punch list items as well
  - Final Acceptance
- **Contract Time**
  - Explanation of liquidated damages (if required)
  - Description of weather delays and winter shutdowns (Note: Calendar contracts require submittal of NWS data to support weather events exceeded the normal monthly events.)
- **Labor Provisions**
  - Statement of compliance with contract labor provisions (i.e. payroll reviews, etc.).
  - Summary of any complaints/findings and resolution.
- **Environmental Requirements**



- Provide a statement if the environmental requirements were met and if not why.
- **Summary of DBE Utilization**
  - Prepare and submit a summary of the actual DBE participation compared to the contract goal.
  - **NOTE:** This submittal does not relieve the sponsor of the responsibility for reporting DBE accomplishments to FAA Office of Civil Rights through the DOORs system.
- **Contract Change Orders and Quantity Adjustments**
  - Provide a change order summary with a delineation of eligible and ineligible costs
  - Detail and justify the changes required to engineering agreements, contract times, final construction quantities
  - Summarize FAA eligibility determinations from previously communicated change orders
- **Construction Material Testing and Acceptance**
  - Provide a summary of all required acceptance tests per the project specifications **and** the approved construction observation plan (Grant obligation).
  - Sponsor/consultant **does not** need to submit actual test reports with close out report but must make such information available upon request by the FAA.
  - The summary must provide clear explanation of any price adjustments due to the application of Percent Within Limit (PWL) rules.

The following items, as applicable based on the work done, are required as well:

#### **As-built ALP**

- All AIP project improvements that result in revisions to airfield pavement geometry require the submittal of an as-built ALP plan set at the conclusion of the project. Other projects may require a redlined ALP submittal as well.
- The sponsor must revise **all** impacted drawings in the ALP set. The sponsor shall submit a complete draft ALP set to the FAA State Planner for review prior to finalizing the as-built ALP for signatures and FAA approval.
- The eligibility of costs for this task is limited to the revisions necessitated by the AIP development work. This should mainly be drafting revisions. These costs should not include efforts to update the ALP to reflect non-participating improvements or planning revisions.

#### **As-built AGIS Survey**

Data in the AGIS system needs to be uploaded, validated and verified before the grant can be closed out.. All safety critical data changes require an AGIS survey, as well as all AIP funded work at primary airports.

#### **5010 Updates (required whenever improvements modify existing data)**

Development projects that modify airport features require an update to airport aeronautical data elements reported on the 5010 Airport Master Record Form. Submit a redlined 5010 form highlighting the changes to the FAA Central Region Office. Do not wait until the submittal of the closeout report to submit updated airport aeronautical data, submit them early enough to time the opening with the new 5010 publication. Reference the [NFDC publication cut-off dates](#) website.

Please note that changes to runway length/width (safety-critical data) can only be completed through the AGIS survey process (with the exception of visual runways). Changes to pavement strength, PCN, and Part 77 coding cannot be changed by the sponsor and must be requested through the Central Region Office.

As a reminder: PCN for runways needs to be reported. Coordinate with the FAA Regional Paving Engineer if you have any questions.



### **Airport Chart/Diagram Modification**

All modifications of airport charts and diagrams (typically airports with ATCT) require the airport operator to complete and submit an NFDC [Aeronautical Chart Change Form](#) with applicable attachments such as a marked-up airport diagram. The preferred method of submission is in electronic format (PDF, TIF, JPG, or PPT). Avoid submitting low-resolution documents. On part 139 airports please coordinate this submittal with central region 139 staff.

The final report should briefly discuss what action the sponsor has taken to update the airport aeronautical data. Please include a copy of the "Airport Chart Change receipt" that NFDC forwards to the individual requesting the changes.

### **Airport Part 139 Sign and Marking Plan (As Required)**

AIP projects that affect existing airfield signage and/or marking at airports that have a Part 139 certificate must submit an updated sign and marking plan.

- Part 139 operators should submit this as soon as improvements are complete and pavement is open to aircraft operations. **Do not** wait until the submittal of the closeout report to submit this information.
- An Airport Certification Inspector will review the revised plan for approval.



## **1630- Equipment Project Closeout**

The grant may be closed once the following items have been completed

1. Delivery and acceptance of equipment
2. Administrative requirements for closeout
3. Financial requirements for closeout

### **REQUIRED DOCUMENTATION for EQUIPMENT PROJECTS**

As specified in the table above submit the SF271, SF425, Final Payment/Invoices Receipts, closeout report and sponsor Amendment Request Letter confirming the above 3 items have been completed

**Final Acceptance Report Details** - Prepare and submit a final acceptance report that provides a complete and accurate record of the equipment acquisition. While the degree of information may vary per the type of equipment being purchased, as a minimum, this report shall address the following:

- **Brief narrative of work accomplished;**
  - Identify the make, model and serial number of the acquired equipment.
  - Include explanation for any deleted work item
  - Provide description of non-participating work item
- **Photographs of Acquired Equipment** - Provide a sufficient number of photographs to depict the acquired equipment. Please strive to depict all sides of the acquired equipment. Photos should include a depiction of the manufacturers data plate.
- **Summary of key milestone dates**
  - Receipt of Bids
  - Notice-to-proceed
  - Delivery Date
  - Contract date
  - Final acceptance
  - Warranty Date
- **Change Order Summary** – If applicable, briefly describe any change order processed under the acquisition. Note that all change orders must be reviewed by the FAA project manager for a determination of AIP eligibility prior to seeking reimbursement under the AIP
- **Buy American Compliance**
  - Provide a sponsor/consultant statement addressing whether the contractor complied with Buy American provisions and how sponsor/consultant verified compliance. It is optional whether the sponsor/Consultant choose insert the already submitted Buy American documentation again.
- **Copies of vendor certifications** - Refer to applicable FAA Advisory Circular for requirements.
- **Acceptance Test**
  - Provide a summary of the acceptance tests that were conducted. Consult the appropriate Advisory Circular for specific acceptance criteria that may be required.
  - Statement from accepting official that attests to their concurrence with the acceptance of the subject equipment. This statement should bear the signature of the accepting official.
- **Inventory** Include a new updated inventory list of non-expendable property.



## **1640 – Planning/Environmental Grant Closeout**

The grant may be closed once the following items have been completed

1. Completion of work items (See Sponsor Guide Section 500 for details)
2. Administrative requirements
3. Financial requirements

### **REQUIRED DOCUMENTATION**

As specified in the table above please submit the SF270, SF425, Final Payment, Invoices and Receipts, final invoice summary and a sponsor letter or email confirming the three items above.

Other possible applicable items for planning grants may be:

5010 Updates: Planning projects that modify airport features require an update to airport aeronautical data elements reported on the 5010 Airport Master Record Form. Submit a redlined 5010 form highlighting the changes to the FAA Central Region Office. Do not submit these changes through the online NFDC portal as the FAA State Planner must review the form before changes are made.

**Please Note:** that changes to runway length/width (safety-critical data) can only be completed through the AGIS survey process (with the exception of visual runways). Changes to pavement strength, PCN, and Part 77 coding cannot be changed by the sponsor and must be requested through the Central Region Office

Airport Chart/Diagram Modification (Required when planning effort modifies airport chart)

Modifications of airport diagrams (typically towered airports) require the airport to complete and submit a NFDC [Aeronautical Chart Change Form](#) with applicable attachments such as a marked-up airport diagram (i.e. PDF, TIF, JPG, or PPT). Avoid submitting low-resolution documents.





## **1650 – Land Grant Closeout**

The grant may be closed once the following items have been completed

1. Completion of land work items (See Sponsor Guide Section 1300 for details)
2. Administrative requirements
3. Financial requirements, Best practice to fill out the Land Invoice Summary found in section 1500. Submit the invoice summary to the Land Specialist prior to requesting the drawdown in Delphi. Please example

### **REQUIRED DOCUMENTATION**

As specified in the table above please submit the SF 271, SF 425, Final Payment/Invoices Receipts, final invoice letter, sponsor letter confirming the three items above and requesting an amendment, if applicable, and the following:

1. **Exhibit A** – See section 1300 of the sponsor guide for more details
2. **Certificate of Title & Proof of Recording of Land Grant and Assurances at County Courthouse.** – See section 1300 of the sponsor guide for more details