



U.S. DEPARTMENT OF TRANSPORTATION  
FEDERAL AVIATION ADMINISTRATION  
National Policy

**ORDER**  
**1200.3E**

Effective Date:  
09/11/2006

SUBJ: Official Reception and Representation Expenses

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**1. What is the purpose of this order?**

This order implements Department of Transportation Order DOT 2770.1D, "Official Reception and Representation Expenses, dated June 14, 1999." It provides supplemental instructions and FAA-specific procedures on the use and accounting of Official Reception and Representation funds.

**2. Who should read this order?**

- a. Senior FAA officials who are authorized to host official visitors or present appropriate gifts to non-Federal dignitaries.
- b. Any employee who assists with arrangements for official reception or representation functions or who purchases gifts and tokens of appreciation for non-Federal dignitaries should also read this order.

**3. What order does this order cancel or replace?**

This order cancels and replaces FAA Order 1200.3D, "Official Reception and Representation Expenses" issued March 2, 1983. It provides updated procedures for requesting R&R funds and additional guidance on permitted expenditures.

**4. What is the Reception and Representation Fund?**

The Reception and Representation (R&R) Fund is part of the "Salaries and Expenses" appropriation to the Secretary of Transportation. These funds are appropriated specifically to carry out hospitality functions when it is in the clear interest of the United States and furthers Departmental goals. This fund is the only authorized source for the purchase of gifts or tokens of appreciation except for plaques presented as an award or upon retirement.

**5. What is a hospitality function?**

A hospitality function is any event hosted by the FAA at which beverages, light refreshments, or meals are served, except award ceremonies or specially approved conferences. Hospitality functions include coffee breaks, snacks, luncheons, dinners, and receptions.

**6. Who is the official host?**

The official host at a hospitality function is the Administrator or his/her designated representative, usually a senior FAA executive.

**7. May FAA co-sponsor hospitality functions with other organizations?**

Yes, hospitality functions may be co-hosted by FAA and both Federal and non-Federal organizations. The R&R should make clear what portion of the proposed event is being funded by a co-sponsor. Officials should avoid planning more than one DOT function in connection with official visits that encompass more than one element of the Department of Transportation.

**8. Where may hospitality functions be held?**

Hospitality functions should be held in FAA facilities whenever possible to reduce the cost. In some instances hospitality functions may be held in commercial establishments or private residences. The exact location of a hospitality function must be identified in the R&R request form and is subject to approval by the Administrator.

Hospitality functions in private residences should generally be reserved for entertaining senior foreign dignitaries. No function using all, or partial R&R funding, is permitted in private residences unless approved in writing by the Administrator before the function.

**9. Who may attend a hospitality functions?**

Hospitality functions are for the benefit of non-Executive Branch employees. Only the minimum number of FAA employees necessary to assist the official host should attend. In no instance should FAA employees account for more than fifty percent (50%) of the attendees.

**10. Will the FAA pay for my meal and beverages if I am asked to participate in hospitality function?**

- a. Yes, if you are not in official travel status and are not receiving per diem.
- b. If you are in official travel status and receiving per diem you must either:
  - (1) Reimburse the FAA for the cost of the meal and beverages from your meals and incidental expenses allowance, or
  - (2) Reduce your travel reimbursement claim by the amount FAA has paid for your meal and beverages.

**11. What are gifts or tokens of appreciation?**

Gifts or tokens of appreciation are any objects purchased from Federal funds given as presents. This may include items such as lapel pins, pens, mugs, portfolios, briefcases, bags, caps, t-shirts, jackets, books, or any other gift item. It also includes flowers for certain occasions.

**12. Who may present gifts or tokens of appreciation on behalf of the FAA?**

Only the Administrator or someone designated by the Administrator may present gifts or tokens of appreciation on behalf of the FAA. Any gifts or tokens of appreciation purchased with R&R funds must be presented on behalf of the Department of Transportation, Federal Aviation Administration.

**13. To whom may gifts or tokens of appreciation be given?**

Gifts and tokens of appreciation should only be given to non-FAA dignitaries and senior foreign officials to recognize the special relationship between DOT/FAA and the recipient. In limited

instances and funds permitting, gifts or tokens of appreciation of nominal value may be given to foreign officials in accordance with local customs.

**14. What expenditures must be paid from the R&R Fund?**

The R&R Fund is the only source of funding FAA is authorized to use to pay for the following items or activities:

- a. Food, beverages, and gratuities for events of any kind except when the expenditure is covered under rules that apply to training of Federal employees, official award ceremonies, and specially approved conferences (see GAO Decision B-300826, March 3, 2005);
- b. Gifts or tokens of appreciation including lapel pins, pens, mugs, portfolios, briefcases, bags, caps, t-shirts, books, or commemorative plates or medallions. This restriction does not apply to plaques presented to FAA employees as part of an award or on retirement; and
- c. Flowers, wreaths, or similar tokens of acknowledgement on such occasions as weddings, births, serious illness, or deaths of important personages who are not Executive Branch employees when this is the local practice or custom.

**15. What expenditures may not be paid from the R&R Fund?**

- a. You may not use R&R funds to sponsor an event at any place or location or use vendors that practice discrimination on the basis of race, religion, color, national origin, sex, or sexual orientation.
- b. You may not use R&R funds for the following or similar items:
  - (1) Hire, purchase, operation, or repair of any motor propelled, passenger-carrying vehicle, including aircraft.
  - (2) Membership fees or dues in any society, club, or association.
  - (3) Purchase or printing and sending of Christmas or other types of greeting cards.
  - (4) Expenses for retirement or award ceremonies for Department or FAA civilian and military personnel except for those official retirement or award ceremonies specifically approved in advance by the Secretary or Deputy Secretary.
  - (5) Any purpose for which an appropriation is otherwise available, or to circumvent administrative or legal restrictions on the use of other appropriated funds.
  - (6) Expenses solely for the entertainment of Department of Transportation personnel, except that minimally required to extend official courtesies as determined by the Administrator.
  - (7) Expenses which are normally expected to be assumed as a personal obligation.
  - (8) Additional compensation or perquisites for officials of the United States.

**16. How are R&R funds allocated in FAA?**

R&R funds are extremely limited. Requests for funding will be considered in the following order:

- a. Events personally hosted by the Administrator or Deputy Administrator
- b. Events hosted on behalf of the Administrator by executives who report directly to the Administrator
- c. Events hosted by the Assistant Administrator for International Aviation when the primary guests are foreign dignitaries
- d. Events hosted by other FAA executives when hosting foreign dignitaries of equivalent rank.

**17. Who may request R&R funding?**

Requests for R&R funding must come from an executive who reports directly to the Administrator.

**18. How do I request R&R funds?**

R&R funds may be request by completing FAA Form 1200-3 (6-74). An electronic version may be requested from the International Operations Staff, API-10. A sample of the form with instructions on how to complete the request is contained in Appendix A.

**19. To whom do I send the R&R request?**

The R&R request should be submitted to API-10. Your request will be reviewed by API-10 and submitted to the Assistant Administrator for International Aviation. The Assistant Administrator will send the request to the Administrator with a recommendation to approve or disapprove the request.

**20. When may I commit R&R funds?**

You may only commit R&R funds to pay for a hospitality event or gift after your request has been approved by the Administrator and the signed request form has been returned to you by API-10.

API-10 will inform you if your request has been denied.

**21. How do I pay for R&R events or gifts?**

- a. You may use your Government travel card or a personal credit card to pay for R&R events or gifts.
- b. You may not use the Government office purchase card to pay for any R&R item. The purchase of entertainment items using a Government office purchase card is expressly forbidden.

**22. How will I be reimbursed for R&R expenditures that I am authorized to make?**

You will receive a claim form (SF-1034A) along with your approved R&R request form. Fill out the claim using the instructions in Appendix B. Return the claim form, the original signed R&R request form, and an original receipt to API-10. Claims exceeding the amount authorized on the approved R&R request form will be considered on a case-by-case basis as funding permits.

API-10 will forward your claim to the Administrator for approval. When approved, it will be sent to the Office of the Secretary for payment. All R&R reimbursements are made by direct deposit. The first time you submit a claim for R&R reimbursement you will also have to provide a direct deposit form as illustrated in Appendix C.

**23. What must I submit if I do not have an original receipt?**

If you do not have an original receipt you may submit either:

- a. A copy of the original receipt, or
- b. A written statement explaining why a receipt is not available and identifying the vendor, date, and amount of purchase.

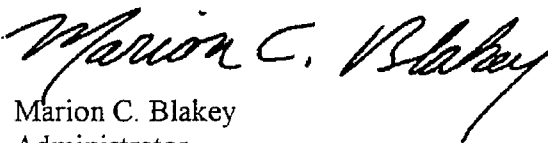
In both cases the document must include the following statement and be signed by you.

"I certify the charges are true and correct and that payment therefore has not yet been received."

**24. Who manages the R&R Fund for the FAA?**

The Assistant Administrator for International Aviation is responsible for managing the R&R allocation to the FAA. The International Operations Staff, API-10, executes this responsibility by:

- a. Compiling, reviewing, and submitting a list of proposed events and expenditures to the Department each fiscal year,
- b. Tracking the approval and disapproval of R&R requests,
- c. Keeping a record of the actual R&R expenses, and
- d. Reporting R&R activity to the Department as required.



Marion C. Blakey  
Administrator

REQUEST FOR ENTERTAINMENT OR REPRESENTATION ALLOWANCES		
<b>TO:</b> <p style="text-align: center;">The Administrator</p>	<b>FROM:</b> (Service, Office or Region) Assistant or Associate Administrator, Chief Counsel or Chief Operating Officer <b>Example:</b> Assistant Administrator for International Aviation	
<b>PURPOSE AND NATURE OF FUNCTION:</b> Description of why the FAA is hosting the event. Also indicate the relationship between the FAA and attendees. <b>Example:</b> This is an opportunity for the FAA to speak with the Civil Aviation Authority of Canada to discuss noise reduction.		
<b>NAME AND ADDRESS OF ESTABLISHMENT OR OTHER PLACE WHERE FUNCTION IS TO BE UNDERTAKEN:</b>  The full name, city and state of where the function will be held		<b>DATE OF PROPOSED FUNCTION:</b> The anticipated full date of function.
<b>ESTIMATED COST OF FUNCTION:</b> Full amount of what it will cost to host event.		
<b>NAME OF FAA OFFICIAL DESIGNATED TO ACT AS HOST:</b> Full name of highest-level FAA official present, but no lower than the office or service director.	<b>TITLE:</b> Full title of the FAA Host.	
P A R T I C I P A N T S	<b>G U E S T S</b>	<b>NAMES:</b> Names of Participants: All non-government participants must be listed.
	<b>F A A</b>	<b>TITLES:</b> Titles of Participants: Title of all non-government participants must be listed.
	<b>O T H E R S</b>	All FAA officials must be listed.
Other federal government officials.		Title of federal government officials.
<b>ACCOUNTING CLASSIFICATION</b>	Obtain current FY code from API-10	<b>REQUEST NUMBER:</b> FAA - XX - XX
<b>DATE OF REQUEST:</b>	<b>SIGNATURE AND TITLE OF REQUESTING OFFICIAL:</b> Complete signature block of Assistant or Association Administrator, Chief Counsel or Chief Operating Officer. Should correspond with the block labeled from above.	
<b>CERTIFICATE OF AUTHORIZATION:</b> The function described above is hereby authorized and official expenditures necessary therefore are authorized.		
<b>DATE AUTHORIZED:</b>	<b>SIGNATURE AND TITLE OF AUTHORIZING OFFICIAL:</b>  <div style="text-align: right;">Administrator</div>	

Standard Form 1034A Revised October 1987 Department of the Treasury 1 TFM 4-2000		<b>PUBLIC VOUCHER FOR PURCHASES AND SERVICES OTHER THAN PERSONAL</b>				VOUCHER NO FAA-XX-XX	
U.S. DEPARTMENT, BUREAU, OR ESTABLISHMENT AND LOCATION  Department of Transportation Federal Aviation Administration 800 Independence Ave., SW Washington, DC 20591			DATE VOUCHER PREPARED 08/17/2006		SCHEDULE NO.		
			CONTRACT NUMBER AND DATE		PAID BY		
			REQUISITION NUMBER AND DATE FAA Request FAA-XX-XX				
PAYEE'S NAME AND ADDRESS Jane Doe 123 Main Street Washington, DC 20000 SSN: 123-45-6789			DATE INVOICE RECEIVED		DISCOUNT TERMS		
			PAYEE'S ACCOUNT NUMBER		GOVERNMENT B/L NUMBER		
			SHIPPED FROM TO WEIGHT				
NUMBER AND DATE OF ORDER	DATE OF DELIVERY OR SERVICE	ARTICLES OR SERVICES <i>(Enter description, item number of contract or Federal supply schedule, and other information deemed necessary)</i>	QUANTITY	UNIT PRICE		AMOUNT (1)	
				COST	PER		
	08/16/06	Lunch with Canadian aviation officials				\$215.36	
(Use continuation sheet(s) if necessary) (Payee must NOT use the space below) TOTAL						\$215.36	
PAYMENT:			DIFFERENCES				
<input type="checkbox"/> PROVISIONAL <input checked="" type="checkbox"/> COMPLETE <input type="checkbox"/> PARTIAL <input type="checkbox"/> FINAL <input type="checkbox"/> PROGRESS <input type="checkbox"/> ADVANCE			Amount verified; correct for <i>(Signature or initials)</i>				
<b>MEMORANDUM</b>							
ACCOUNTING CLASSIFICATION							
API-10 will provide current FY code							
PAID BY	CHECK NUMBER	ON ACCOUNT OF U.S. TREASURY		CHECK NUMBER	ON (Name of bank)		
	CASH	DATE					
	\$						

**PRIVACY ACT STATEMENT**

The information requested on this form is required under the provisions of 31 U.S.C. 82b and 82c, for the purpose of disbursing Federal money. The information requested is to identify the particular creditor and the amounts to be paid. Failure to furnish this information will hinder discharge of the payment obligation.

**DIRECT DEPOSIT SIGN-UP FORM FOR PAYMENTS**

AGENCY: FAA\_\_X\_\_REGION\_\_ RSPA\_\_ TASC\_\_ OIG\_\_ FHWA\_\_ TSA\_\_ OST\_\_

ESTABLISH DIRECT DEPOSIT     CANCEL DIRECT DEPOSIT     CHANGE DIRECT DEPOSIT INFORMATION

SOCIAL SECURITY NUMBER \_\_\_\_\_

NAME (Last, First Middle Initial) \_\_\_\_\_

MAILING ADDRESS \_\_\_\_\_

EMAIL ADDRESS \_\_\_\_\_

TELEPHONE NUMBER (Work) \_\_\_\_\_ (Home) \_\_\_\_\_ (Cell) \_\_\_\_\_

TYPE OF ACCOUNT

CHECKING    --     SAVINGS

ROUTING TRANSIT NUMBER (This number appears at the extreme bottom left of your checks. For savings accounts, you need to contact your financial institution.)

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ACCOUNT NUMBER

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NAMES ON ACCOUNT

\_\_\_\_\_

FINANCIAL INSTITUTION'S NAME

\_\_\_\_\_

AUTHORIZATION:

\_\_\_\_\_  
(EMPLOYEE'S SIGNATURE)

\_\_\_\_\_  
(DATE)

All information on this form is required under 31 CFR 209 and/or 210. The information is voluntary, confidential and is needed to prove entitlement to payments. The information will be used to process payments data from the Federal Aviation on to the financial institution and/or its agent. Failure to provide the requested information may affect the processing of this form and may delay or prevent the receipt of payments through the Direct Deposit for Travel Payments. This form is to be used only for processing Federal Employee Travel Reimbursements.

The Original With Signature should be sent to:  
Federal Aviation Administration  
Mike Monroney Aeronautical Center  
Franchise Customer Commercial Payments Branch, AMZ-150  
P.O. Box 25780  
Oklahoma City, OK 73125-4913