

FAA Grant Process

MCOA Conference

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Date: April 7, 2022



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AIP Grant Steps: Overview

- 
- Receive & Review Sponsor Capital Plan (CIP)
 - Input proposed project into the National Plan of Integrated Airport Systems (NPIAS)
 - Identify appropriate time for funding - Airports Capital Improvement Plan (ACIP)
 - Await Annual AIP Appropriation from Congress
 - Issue Grant based on negotiated scope
 - Make timely payments
 - Close grants in a timely manner



Core Principles for Us All to Remember

- Safety
 - Reducing runway incursions
 - Minimizing damage connected with runway excursions
 - Wildlife hazards
 - Other risks
- Enhancing capacity & optimizing efficiency
- Preservation of infrastructure
- Environmental & economic sustainability
- Financial accountability
- Critical value of planning
- Preserving stakeholder confidence
- **We are all in it TOGETHER!**



Project Questions

- **Runway & Taxiway**
 - Eligible & Justified
 - PCI
 - Obstructions
- **Apron**
 - Separation standards
 - Direct connect
- **Other pavements**
 - taxilanes



Environmental Commitments

- **Project work must stay in the box identified in environmental finding**
- **If there is larger guesswork on impacts, field studies should occur**
- **FAA will be closely tracking environmental commitments made going forward**
- **Coordinate with FAA on tree removal**
- **Do what you say you are going to do!**



Eligible and Justified

- **Is the project eligible?**

- AIP Handbook – provides guidance for determining eligibility & justification for any AIP funded project
- Eligibility areas that require extra review
 - Terminal buildings
 - ARFF equipment & buildings
 - Reconstruction vs. rehabilitation

- **Is the project justified?**

- Three basic tests
 - The project advances airport safety, security, capacity, meets FAA standards, preserves airport infrastructure, protects the environment, minimizes aircraft noise or provides planning studies
 - There is a demonstrated need for the project
 - The project scope is appropriate

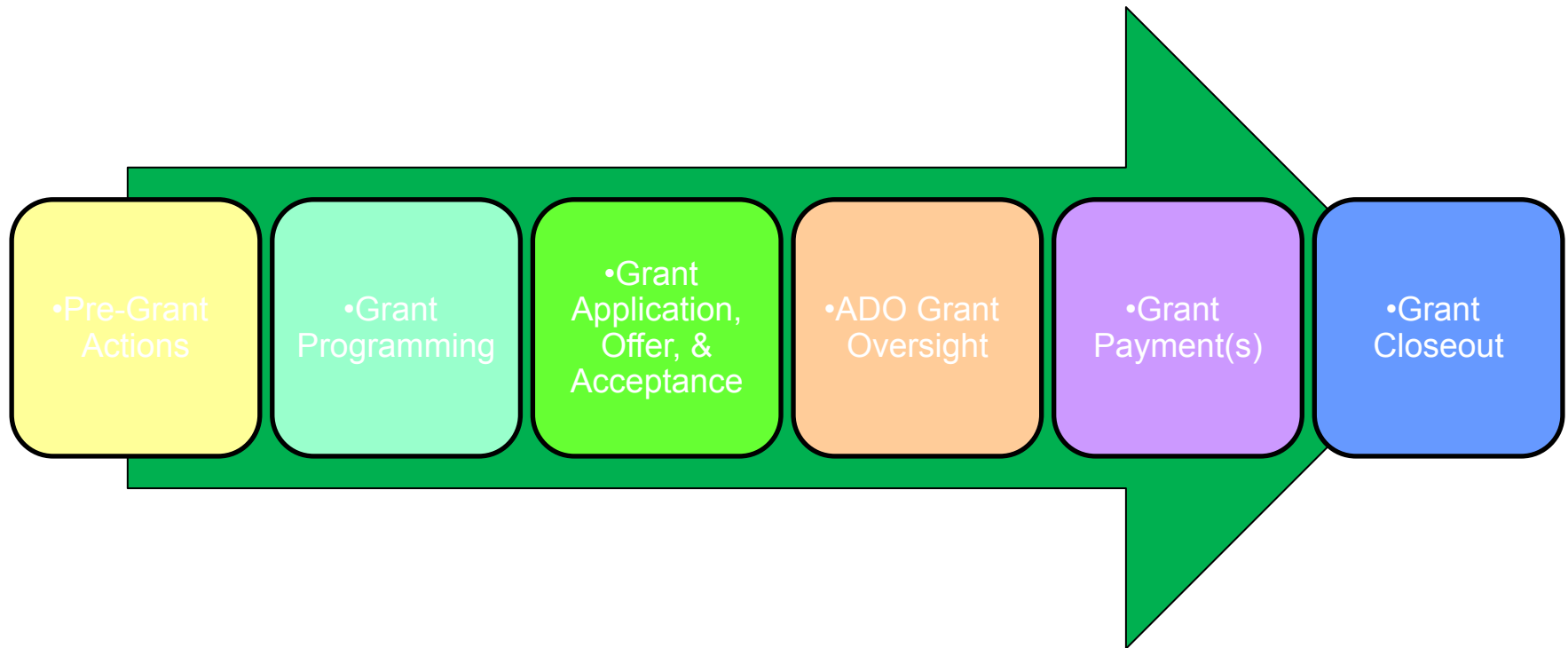


What is the AIP Handbook?

- An FAA Order, required to be followed by FAA employees
- It is made public so that states, airports, consultants & the public can see the rules under which AIP operates
- It generally reflects current law, incorporates published Program Guidance Letters & clarifies items where questions have come in



Basic Steps in the Grant Process



Grant Application, Offer, & Acceptance

Grant Application Contents (Table 5-6 AIP Handbook)

- **MANDATORY ITEMS:**

- Application for Federal Assistance (SF 424)
- Application for Development Projects (FAA Form 51)
- Application for Planning Projects (FAA Form 5100-1)
- Project Documentation needed for ADO Reasonabl
- Exhibit A (if one is not on file)



- **ITEMS REQUESTED BY ADO:**

- Detailed project narrative and/or cost breakdowns
- Project sketches
- If land, Title Certification or Long Term Lease agreement

- **ADO must review application and supporting documents – by issuing grant, ADO approves the projects in the application**



FAA Grant Approval Process

Historical Record

Grant Timeline



Pre-grant Items

Planning

Environmental

Pre-application

Airspace – CSPP – EDR

Plans & Spec Review

Application

1. Programming
2. RO Review
3. HQ Review
4. Congressional Notification
5. OST Release
6. FINAL Application
7. Funds Reservation
8. Grant Preparation
9. E-signature
10. Obligation
11. Upload – POP preparation
12. Open Grant



e-Signature & e-Grants

- **All MN e-signature forms received**
- **All AIP grants will be sent the same way as CARES – please reach out if something has changed – email or signature order**
- **Adobe EchoSign – no additional software needed!**
- **Can provide process location update**
- **AIP grant package will contain AIP grant for signature and applicable sponsor certifications**



e-Signature

e-Signature Grant Sponsor Request Form

FAA Airports Division (ARP) is offering e-signature for all FY2021 grants via Adobe e-Signature. This will expedite the process so that airport Sponsors receive grants as quickly as possible. If you would like to receive your FY2021 grant via email for e-signature, please complete this form.

Sponsors do not need any special software to sign grants electronically.

Documents are emailed in the order specified below, and only one signature is required for each step (known as a signature block) in the process. The request for signature is sent by email, sequentially after the signature from the previous block is complete.

For each signature block, a Sponsor may submit more than one individual to have an equal right to sign, however only one signature is applied. For example, two Sponsor names can be entered under the Sponsor signature block, a primary and back-up, however only one will be able to sign.

If an airport has co-sponsors, the airport co-sponsors will need to fill out the Sponsor, Attorney, Co-Sponsor and Co-Sponsor Attorney signature blocks.

If an airport has more than two sponsors, the sponsors need to indicate this in the space provided at the end of the form.

When the e-signature process is completed, everyone, including the individuals listed below that did not sign, will receive an email copy of the signed document.

Sponsor Signature Block:

| Full Name | Title | Email Address | Phone Number |
|-----------|-------|---------------|--------------|
| | | | |
| | | | |

Attorney Signature Block:

| Full Name | Title | Email Address | Phone Number |
|-----------|-------|---------------|--------------|
| | | | |
| | | | |

Co-Sponsor Signature Block:

| Full Name | Title | Email Address | Phone Number |
|-----------|-------|---------------|--------------|
| | | | |
| | | | |

The e-signature process is a hierarchy and goes in order of signers:

1. FAA: My signature,
2. Airport Sponsor: Authorized representative(s),
3. Airport Sponsor: Attorney,
4. FAA: returned to me---all listed CCs get copies of final documentation.

Signatures required on:

- Sponsor Certifications
- Grant Agreement with date
 - ✓ Sponsor
 - ✓ Attorney



AIP Grant Payments

- **The U.S. Department of Transportation (DOT) has fully implemented its new department-wide electronic grant payment system, Delphi eInvoicing System. The system provides a web-based standardized portal for grantees to electronically request grant payments and monitor payment status. All airport sponsors have transitioned to this new system.**
 - AIP Grant Payment and Sponsor Financial Reporting Policy (updated 10/28/2020)
 - Notice of New Requirements and Procedures for Grant Payment Submission
- **Channeling Act States – submit and receive grant payments on behalf of Airport sponsors**



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Table 5-18 Performance Report Requirements by Project Type

Quarterly Report

- old quarterly performance report but not the 5100-140 / 5370-1 listed on our website

| For the following type of project... | The FAA policy is... |
|--------------------------------------|---|
| a. Non-construction | <p>(1) Per 2 CFR § 200.328, the sponsor must submit FAA Form 5100-140, Performance Report (see the AIP Forms link in Appendix B) at least annually, but not more than quarterly, until the non-construction project is completed. The ADO has the option of requiring the performance report quarterly.</p> <p>(2) The sponsor must submit each performance report within 30 days of the end of quarter if required quarterly or semiannually; and within 90 days of the end of the fiscal year if required annually. Sponsors must not submit the performance reports in batches or at the end of the project.</p> <p>(3) If a major project or schedule change occurs between performance reports, the sponsor must submit an out of cycle performance report to the ADO.</p> <p>(4) Guidance on the current ADO review requirements is contained in the Airport Improvement Program (AIP) Grant Payment and Sponsor Financial Reporting Policy (see Appendix B for link).</p> |
| b. Construction | <p>(1) The FAA has determined that sponsor submittal of FAA Form 5370-1, Construction Progress and Inspection Report, satisfies the performance reporting requirement.</p> <p>(2) FAA Form 5370-1 (see the AIP Forms link in Appendix B) is discussed in more detail in the current version of Advisory Circular 150/5370-12, Quality Management for Federally Funded Airport Construction Projects.</p> <p>(3) 2 CFR § 200.328 establishes general reliance on inspection reports and certified percentage of completion for Federal monitoring of construction project status. Per FAA policy, the sponsor must submit FAA Form 5370-1 to the ADO at least quarterly, however, the ADO has the option to require the sponsor submit these reports on a more frequent basis. Per FAA policy, the quarterly frequency for this report will generally provide adequate ADO monitoring for construction projects.</p> <p>(4) The sponsor must submit FAA Form 5370-1 to the ADO for each fiscal quarter until the construction project is completed.</p> <p>(5) The sponsor must submit each FAA Form 5370-1 within 30 days of the end of the quarter (not in batches or at the end of the project).</p> <p>(6) The sponsor must include the certified percentage-of-completion information on FAA Form 5370-1. If not, the ADO must require the sponsor to resubmit the form with this information.</p> <p>(7) If a major project or schedule change occurs between the reporting cycles, the sponsor must submit an out of cycle FAA Form 5370-1 to the ADO.</p> <p>(8) Guidance on the current ADO review requirements is contained in the Airport Improvement Program (AIP) Grant Payment and Sponsor Financial Reporting Policy (see Appendix B for link).</p> |



Lifecycle of a grant

- **Staying off the FAA's Naughty List**
- **Quarterly Reports – Construction Progress & Inspection Reports**
- **First Drawdown & Regular Drawdowns**
- **Reaching 10%**
- **Submitting Closeout Documents**



Grant Closeout

In order for the ADO to close a grant, must complete three basic steps:

1. Physically complete all projects in the grant
2. Complete all grant administrative and financial requirements
3. Provide Final Closeout Report –

Outlining Final payment Requests

- Full Payment; or
 - Partial Payment – Recoop funds; or
 - Amendment Needed (section 7, Ch 5 AIP HB)
-
- **More information for closeouts:**
 - Ch 5, Section 8 and
 - SOP #10



**ARP SOP
10.00**

Effective Date:
10/01/2017

Standard Operating Procedure (SOP)

Administrative Closeout of Airport Improvement Program Grants

1. PURPOSE

This Standard Operating Procedure (SOP) establishes uniform procedures for the closure of Airport Improvement Program (AIP) grants for the Office of Airports (ARP) in a manner compliant with applicable ARP orders and federal financial requirements.

| | |
|--|-------|
| Sponsor Grant Closeout Worksheet (MS Word) | 10.00 |
| Closeout Documentation Review Checklist (MS Word) | 10.00 |
| Final Project Report and Cost Tracking Sheets (MS Excel) | 10.00 |
| The SOP checklists and tools are fillable. | |

• <https://www.faa.gov/airports/resources/sops/>



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Closeout Steps/Options

Airport Sponsor (consultant) submits closeout report to FAA/State

•Full Final Payment

•Final payment requested

•Grant closed in FAA systems

•Closeout report & letter signed

•Final Payment - w/ remaining \$ to de-obligate

•Final payment requested

•Remaining balance re-cooped – active or inactive

•Grant closed in FAA systems

•Closeout report & letter signed

•Amendment needed

•Amendment requested

•Amendment processed in FAA/State System

•Final payment requested

•Grant closed in FAA systems

•Closeout report & letter signed

•No final payment - de-obligate all remaining \$

•Grant closed in FAA systems

•Closeout report & letter signed



Closeouts

- **2018 projects must be closed this fiscal year due to Period of Performance**
- **Need to have these submitted before June for review / processing of final payments**
- **Currently in “catch up” mode...**



Looking forward

Let's continue our successes

- Submit your Application & Funding Request
- Let us know if you intend to Carryover or Transfer
- Make sure you have proper Planning
- Submit your Environmental documentation
- Coordinate your Airspace Submittal and/or Construction Safety Phasing Plan
- Plan for bids – funding timing is uncertain
- Communicate with your Program Manager



MORE AIP INFORMATION: www.faa.gov/airports/aip

[FAA Home](#) » [Airports](#) » [Airport Improvement Program \(AIP\)](#)

[Airport Compliance](#)

[Airport Cooperative Research Program](#)

[Airport Improvement Program \(AIP\)](#) →

[2018-2020 Supplemental Appropriation](#)

[2019 Airport Improvement Program \(AIP\) Grants](#)

[2019-2021 Supplemental Appropriation](#)

[AIP Grant Payments](#)

[AIP Handbook](#)

[Airport Capital Improvement Plan \(ACIP\)](#)

[Benefit-Cost Analysis](#)

[Buy American Preferences](#)

[Economically Distressed Communities](#)

[Grant Assurances](#)

[Grant Histories](#)

[Grant/ Apportionment Data](#)

[Letter of Intent \(LOI\) Program](#)

[Military Airport Program](#)

[Overview](#)

[Procurement and Contracting Under AIP](#)

[Program Guidance Letters \(PGLs\)](#)

[State Block Grant Program](#)

Airport Improvement Program (AIP) Airports



The Airport Improvement Program (AIP) provides grants to public agencies — and, in some cases, to private owners and entities — for the planning and development of public-use airports that are included in the [National Plan of Integrated Airport Systems \(NPIAS\)](#). See the [AIP Glossary](#) for a description of AIP-related terms.

- [Overview: What is AIP & What Airports/Projects are Eligible?](#)
- [2019 AIP Grants](#)
- [Acquiring Land for Airports and Relocation Assistance](#)
- [AIP Grant Payments - Delphi eInvoicing](#)
- [Benefit-Cost Analysis](#)
- [Economically Distressed Communities \(EAS/EDA Determinations\)](#)
- [Grant Assurances for the AIP](#)
- [Letter of Intent \(LOI\) Program](#)
- [Military Airport Program \(MAP\)](#)
- [Procurement and Contracting Under AIP](#)
 - [Buy American Preferences](#)
 - [Nationwide Buy American Waivers Issued \(PDF\)](#)
- [State Block Grant Program](#)
- [Supplemental Appropriation](#)
 - [2019-2021 Supplemental Program](#)
 - [2018-2020 Supplemental Program](#)

Top Tasks

[View airport program statistics](#)

[Search airport data](#)

[Find an airport AC](#) 🔍

[Read best practices for runway safety](#)

[Learn about the Airport Improvement Program](#)

Order 5090.5, Formulation of the NPIAS-ACIP

This Order establishes guidelines for managing and maintaining two federal plans that are essential to airport development: the National Plan of Integrated Airport Systems (NPIAS) and the Airports Capital Improvement Plan (ACIP). The Order also discusses the NPIAS project database that supports these plans and its use for preparing the Secretary of Transportation's biennial NPIAS Report. This new

Future Successes

- **Ask Project Questions**
- **Stick to your Environmental Commitments**
- **Follow AIP Handbook**
- **Submit Quarterly Reports**
- **Partner with State**
- **E-signature accuracy**



Questions?

Please do not hesitate to give me a call or drop an email with further questions.

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