

October 2024



Grant Applications, Amendments, and Closeouts

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Federal Aviation
Administration

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Grant Applications

- Goal of this presentation:
 - To review proper application process
 - To highlight frequently missed items
 - Ways to help improve the process with ADO
- Draft applications (no signature required) by end of January greatly assist ADO with programming



What is in Grant Application

Table 5-6 Grant Application Contents

| For the following... | The sponsor submittal requirement is... |
|---|--|
| a. Application for Federal Assistance (Standard Form 424) | Mandatory. Sponsors must sign and submit the latest version of this form as part of all grant application packages (see the AIP Forms link in Appendix B). The signed grant application is contractually referenced in the grant agreement and a signed copy must be included in the ADO grant file. |
| b. Application for Development Projects (Parts II through IV) (FAA Form 5100-100) | Mandatory. FAA Form 5100-100, or its equivalent, must be submitted for all projects (see the AIP Forms link in Appendix B). The term <i>its equivalent</i> is intended to allow sponsors to create their own documents that contain the exact information requested in FAA Form 5100-100, but allows them to include sponsor-specific information or data. This form provides supporting grant information such as the source of the sponsor share, detailed cost breakdowns, project specific information (such as narratives and justifications), and confirmation that items such as coordination with on airport users has been accomplished. Per FAA policy, contingency costs are not allowed because the ADO has the option to amend an AIP grant, dependent on eligibility and availability of funding, to reflect final costs. Therefore, sponsors must leave Part III, Budget Information Item 18 (Contingencies) blank. Optional for the State Block Grant Applications. The ADO has the option to request this information, but states do not normally include this in a state block grant application. The state must collect this information for subgrants in accordance with their State Block Grant Program Memorandum of Agreement. |
| c. Application for Planning Projects (Parts II through IV) (FAA Form 5100-101) | Mandatory for Planning Projects if FAA Form 5100-100 is Not Used. For planning projects, sponsors can submit FAA Form 5100-101, or its equivalent, instead of FAA Form 5100-100 (see the AIP Forms link in Appendix B). The term <i>its equivalent</i> is intended to allow sponsors to create their own documents that contain the exact information requested in FAA Form 5100-101, but allows them to include sponsor-specific information or data. Optional for the State Block Grant Applications. The ADO has the option to request this information, but states do not normally include this in a state block grant application. The state must collect this information for subgrants in accordance with their State Block Grant Program Memorandum of Agreement. |

- Per AIP Handbook (Table 5-6):
 - SF-424
 - FAA Form 5100-100 (equipment/development) or FAA Form 5100-101 (planning)
 - Detailed Project Narratives and/or Cost Breakdowns (in addition to 5100-100/101)
 - Narratives: At the request of ADO or for complicated projects
 - Cost breakdowns: for all applications, broken down by components (more details in later slide)
 - Project Sketch(es)
 - Project Documentation Needed For ADO Reasonableness Determination
 - Bids, appraisals + negotiated agreement amounts, negotiated agreement amounts, etc
 - Bids can be submitted at a later date, but must be submitted before grant can be sent out
 - Exhibit A (if current version is not on file in ADO)
 - Title Certificate or Long-Term Lease Agreement for land
 - At request of ADO

Application – SF-424

- Ensure to use most current version
 - <https://www.faa.gov/airports/resources/forms/media/SF424>
 - Document expiration date located in top right of document
 - Use instruction PDF (same website as above)

| |
|--|
| OMB Number: 4040-0004 Expiration Date: 11/30/2025 |
| |
| |



SF-424, page 1

Recommendations and Common Mistakes

OMB Number: 4040-0004
Expiration Date: 11/30/2025

Application for Federal Assistance SF-424

| | | | | |
|--|--|---|--|--|
| *1. Type of Submission: <input type="checkbox"/> Preapplication <input type="checkbox"/> Application <input type="checkbox"/> Changed/Corrected Application | | *2. Type of Application <input type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision | | * If Revision, select appropriate letter(s): <input type="checkbox"/> * Other (Specify) |
| *3. Date Received: | | 4. Applicant Identifier: | | |
| 5a. Federal Entity Identifier: | | *5b. Federal Award Identifier: | | |
| State Use Only: | | | | |
| 6. Date Received by State: | | 7. State Application Identifier: | | |
| 8. APPLICANT INFORMATION: | | | | |
| *a. Legal Name: | | | | |
| *b. Employer/Taxpayer Identification Number (EIN/TIN): | | *c. UEI: | | |
| d. Address: | | | | |
| *Street 1: | | | | |
| Street 2: | | | | |
| *City: | | | | |
| County/Parish: | | | | |
| *State: | | | | |
| *Province: | | | | |
| *Country: USA: United States | | | | |
| *Zip / Postal Code: | | | | |
| e. Organizational Unit: | | | | |
| Department Name: | | Division Name: | | |
| f. Name and contact information of person to be contacted on matters involving this application: | | | | |
| Prefix: *First Name: | | | | |
| Middle Name: | | | | |
| *Last Name: | | | | |
| Suffix: | | | | |
| Title: | | | | |
| Organizational Affiliation: | | | | |
| *Telephone Number: | | Fax Number: | | |
| *Email: | | | | |

2. Type of Application
Include fund type in "Other" (AIP, BIL-AIG, etc)

5b. Federal Award Identifier
This is the grant number.
Leave this blank unless coordinated with ADO

8c. UEI
Ensure using most current UEI (verify on SAM.gov)

SF-424, page 2

Recommendations and Common Mistakes

15. Descriptive Title of Applicant's Project

Provide a description of all individual components to be/may be worked on in this project.
(best way is to break it up by work codes)

Example: If a RWY extension, include items such as lighting, marking, applicable taxiway work

| Application for Federal Assistance SF-424 | |
|---|----------------------|
| *9. Type of Applicant 1: Select Applicant Type: Pick an applicant type | <input type="text"/> |
| Type of Applicant 2: Select Applicant Type: Pick an applicant type | <input type="text"/> |
| Type of Applicant 3: Select Applicant Type: Pick an applicant type | <input type="text"/> |
| *Other (Specify) | <input type="text"/> |
| *10. Name of Federal Agency: Federal Aviation Administration | <input type="text"/> |
| 11. Catalog of Federal Domestic Assistance Number: 20.106 | <input type="text"/> |
| CFDA Title: Airport Improvement Program | <input type="text"/> |
| *12. Funding Opportunity Number: <input type="text"/> | <input type="text"/> |
| *Title: <input type="text"/> | <input type="text"/> |
| 13. Competition Identification Number: <input type="text"/> | <input type="text"/> |
| Title: <input type="text"/> | <input type="text"/> |
| 14. Areas Affected by Project (Cities, Counties, States, etc.): <input type="text"/> | <input type="text"/> |
| 15. Descriptive Title of Applicant's Project: <input type="text"/> | <input type="text"/> |
| Attach supporting documents as specified in agency instructions. | |

15. Descriptive Title of Applicant's Project (cont)

For new RWY and Taxilane/Taxiway projects, please include how many feet of new pavement

For new apron projects, please include how many square feet of apron

For most current work codes, contact the ADO



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Recommendations and Common Mistakes

18. Estimated Funding
Reminder: if bids come in *HIGHER* than initial estimate, a signed amendment letter is required for the application

Application for Federal Assistance SF-424

16. Congressional Districts Of:
*a. Applicant: _____ *b. Program/Project: _____
Attach an additional list of Program/Project Congressional Districts if needed.

17. Proposed Project:
*a. Start Date: _____ *b. End Date: _____

18. Estimated Funding (\$):

| | |
|--------------------|------|
| *a. Federal | \$ 0 |
| *b. Applicant | \$ 0 |
| *c. State | \$ 0 |
| *d. Local | \$ 0 |
| *e. Other | \$ 0 |
| *f. Program Income | \$ 0 |
| *g. TOTAL | \$ 0 |

*19. Is Application Subject to Review By State Under Executive Order 12372 Process?
 a. This application was made available to the State under the Executive Order 12372 Process for review on _____
 b. Program is subject to E.O. 12372 but has not been selected by the State for review.
 c. Program is not covered by E.O. 12372.

*20. Is the Applicant Delinquent On Any Federal Debt?
 Yes No
If "Yes", explain: _____

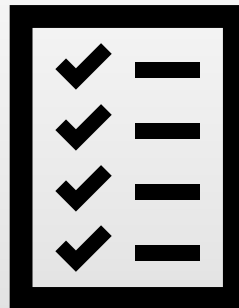
21. *By signing this application, I certify (1) to the statements contained in the list of certifications** and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U. S. Code, Title 218, Section 1001)
 ** I AGREE
** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

Authorized Representative:
Prefix: _____ *First Name: _____
Middle Name: _____
*Last Name: _____
Suffix: _____
*Title: _____
*Telephone Number: _____ Fax Number: _____
* Email: _____
*Signature of Authorized Representative: _____ *Date Signed: _____



FAA Form 5100-100

- Ensure to use most current version
 - <https://www.faa.gov/forms/index.cfm/go/document.information/documentid/185946>
 - Instructions are included in the document (first 6 pages)



FAA Form 5100-100, “Section E – Remarks” Recommendations and Common Mistakes

- Section E should include:
 - Sponsor Assurances (if not attached) by either date of assurances or website of active assurances
 - Plans and Specs referenced
 - Include Month/Year
 - Standard DOT Title VI assurances referenced
 - Exhibit A date (Month/Year)
 - Sponsor certifications
 - Current FAA AC’s for project
 - Resolutions of signature authority delegated

| SECTION E – REMARKS (Attach sheets if additional space is required) |
|---|
| <p>Incorporated by reference:</p> <ul style="list-style-type: none">- Sponsor Assurances (05/2022)- Plans and Specs (Sept 2024), submitted to ADO 15 Oct 2024- Standard DOT Title VI assurances (attached)- Exhibit A (July 1776)- Sponsor Certifications (attached)- Current FAA <u>AC's</u> required for project <p>Signature Authority Delegated:</p> <ul style="list-style-type: none">- John Adams has authority on behalf of George Washington |

Supporting Documents: Detailed Project Narratives/Cost Breakdown

- Detailed Narratives:
 - By ADO request or
 - Complicated projects (numerous work codes, prorations, etc)
- Cost Breakdowns:
 - Include for all grant applications
 - Break down to individual components
 - If sponsor/consultant has current FAA ADO work codes, break down by work codes.
(Work codes can be provided by ADO on request)

- Example:

| Item Description | Work Code | Construction Cost | Admin Cost | Total Cost | Federal Share | Non-Federal |
|--------------------------|-----------|-------------------|--------------|-----------------|-----------------|--------------|
| | | | | | 95% | 5% |
| Reconstruct RWY 12/30 | RC RW IM | \$ 3,000,000.00 | \$300,000.00 | \$ 3,300,000.00 | \$ 3,135,000.00 | \$165,000.00 |
| Reconstruct RWY Lighting | RC RW LI | \$ 250,000.00 | \$ 2,000.00 | \$ 252,000.00 | \$ 239,400.00 | \$ 12,600.00 |
| Rehabe Taxilane A | RA TW IM | \$ 200,000.00 | \$ 1,500.00 | \$ 201,500.00 | \$ 191,425.00 | \$ 10,075.00 |



Supporting Documents

- Project Sketch(es)
 - Must be on 8.5” x 11” or larger
 - Must clearly identify all project components and be easily identified where on airport project is occurring
- Bid Tabulations/Negotiated Amounts
 - Bid tabulations do not need to be in the initial application submittal, but must be sent to and approved by ADO before grant offer
- Exhibit A
 - The date of most current Exhibit A listed in 5100-100 Remarks is sufficient and Exhibit A does not need to be attached
- Title Certificate or Long-Term Lease Agreement
 - ADO will request these when needed



Grant Amendments

- Goal of this presentation
 - To provide additional information that may be useful in future amendments
 - Remedy commonly occurring mistakes in amendment process



Grant Amendments

- Grant Amendments at closeout vs middle of project
 - Expect ADO to push for amendments at closeout
 - WHY: Guarantees one amendment vs possibly multiple if amended early
- Do not expect amendments during August – October



Grant Amendment Types

- Formal vs Informal
 - Formal: Requires a sponsor-signed request letter and sponsor will need to complete a digital signature once amendment is processed (similar to how grant offers are signed)
 - Formal amendments occur when there is a change to a grant condition(s)
 - Informal: signed request letter from sponsor(s) will suffice
- Examples of amendments
 - Funding changes
 - Description changes (unit of work)
 - Special condition changes (proration)

Grant Amendment Request Letters

- Include a short description of reason(s) for amendment(s):
 - If due to change orders, include what change orders and short description of each change order
 - If for increase in funding (but no change order), include a short description on what drove the change in funding
 - For description/unit of work/proration changes, include short description on what drove the change and what sponsor wants the new description/unit of work/proration to be
 - Recommend sending draft letter to ADO for review for these types of requests
- Amendment request letter must be signed by sponsor(s)

Closeouts

- Goals of this presentation:
 - Provide additional information that may be useful in future closeouts
 - Remedy commonly occurring mistakes
 - Provide strategies to improve how quickly ADO review/approval process can be completed



Closeouts

Information and Common Mistakes

- Must meet requirements for:
 - AIP Handbook (Chapter 5, Section 8)
 - Link: https://www.faa.gov/airports/aip/aip_handbook
 - ANM 620-05 Standard Handout for Final Reports
 - Link: https://www.faa.gov/airports/northwest_mountain/sponsor_guide
- Ensure all payments up to (but not including) final payment have been submitted and approved in Delphi prior to submitting closeout report.
 - Delphi payment report can be provided by ADO on request
- ALP Updates
 - Any project that requires an ALP update MUST include update in closeout package
 - A single ALP update can be submitted for several projects ONLY if all projects are being closed at the same time
 - Phased grants: ALP updates are required to be submitted during the last phase unless specified by ADO

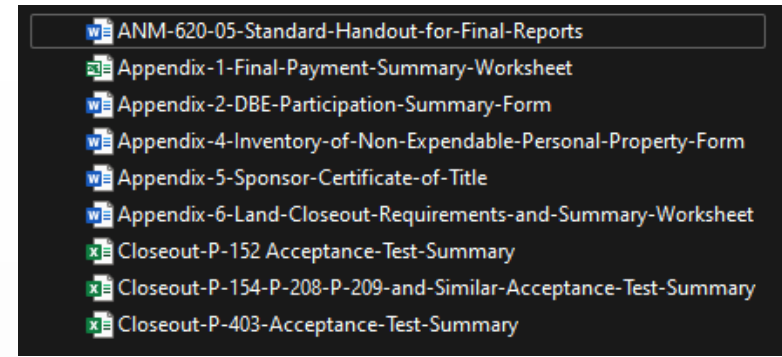
Closeouts

Information and Common Mistakes

- Truncating:
 - Ensure costs are truncated
 - Truncating errors have occurred due to spreadsheets used by contractors/consultants that calculated costs beyond .00 (example: \$20.155 per hour)
- Fund recovery order:
 - Discretionary funds (returned to discretionary fund pot)
 - DOES NOT GO BACK TO SPONSOR
 - State Apportionment funds (returned to SA fund pot)
 - DOES NOT GO BACK TO SPONSOR
 - Entitlements (back to airport, unless expired)
 - Newest entitlements are returned first (ex: FY24 will be recovered before FY23)
(Disclaimer: If a funding source is added later to a grant, it may be recovered first)
- Final payment must be $\geq \$1.00$ [very rare case]

Closeouts

ANM 620-05 and ADO Review



- The closer the closeout document matches the structure of ANM 620-05, the quicker we can review it
 - Matching Sections, subsections, and section/subsection titles
 - If a subsection does not apply to grant, recommend that the subsection is still listed and then noted that it does not apply to this project
 - If ANM 620-05 Appendix templates are not used, ensure the stand-in document covers all requirements
- Most common document-related reasons for review delays:
 - Money (not truncated properly, Federal share rounded up, errors, sections do not match other parts of report)
 - Missing information or documents (ex: no final inspection date listed)
 - SF 425, SF270, and SF271 errors (next slide)

SF 425 and SF 271 at Closeout Information and Common Mistakes

- Use most current versions
 - Link: <https://www.faa.gov/airports/resources/forms>
- Ensure cost breakdown matches rest of closeout report
- Ensure “Final” is selected for the final payment (271 and 425)
- SF271, “11.v. Percentage of physical completion of project” should be 100% for final SF271
 - Commonly see total % of payments received in this box instead

1. TYPE OF REQUEST

- FINAL
- PARTIAL

6. Report Type
- Quarterly
 - Semi-Annual
 - Annual
 - Final

| | | | | |
|---|------------------------|------------------------|------------------------|------------------------|
| v. Percentage of physical completion of project | <input type="text"/> % | <input type="text"/> % | <input type="text"/> % | <input type="text"/> % |
|---|------------------------|------------------------|------------------------|------------------------|

- Playing it safe: use end of Period of Performance for project end date (271 and 425)

| | | |
|---|---|---|
| <p>8. PERIOD COVERED BY THIS REQUEST</p> <p>From: <input type="text"/> To: <input type="text"/></p> | <p>8. Project/Grant Period</p> <p>From: <input type="text"/> To: <input type="text"/></p> | <p>9. Reporting Period End Date</p> <p><input type="text"/></p> |
|---|---|---|

Questions?

