



**FAA
Airports**

AIP Grant Oversight Risk Assessment

Sponsor Certification Checklist

Scope

This checklist is for use by airport sponsors, who should review and complete all form sections below.

Purpose

This checklist helps the FAA decide if an airport sponsor has policies, procedures, and information technology infrastructure supporting the internal controls below. Once you complete the checklist, sign it and return a copy to the relevant FAA Field Office.

Airport sponsor's full name:

Airports owned or operated by the sponsor:

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Checklist

Section 1 – Sponsor Policies and Procedures

Check any box below that applies to your internal controls environment.

- ☐ **Procurement.** The sponsor has a documented Procurement Process.
 - ☐ Procurement process document outlines the roles and responsibilities of each individual involved in processing procurement transactions. This section should also include specific segregation of duties of individuals' responsibilities and necessary authorizations and approvals.
 - ☐ Procurement process document specifies which individuals have been authorized to approve procurement transactions.
 - ☐ Procurement process document outlines data retention requirements.
 - ☐ Procurement process document outlines purchase card usage and authorizations (if applicable).
 - ☐ Procurement process document outlines processes for goods and services receipt and acknowledgement.

- ☐ Procurement process document outlines processes for invoice reconciliations and exception handling.
- ☐ Procurement process document has been reviewed and updated within the last 3 years.
- ☐ **Grants Oversight.** The sponsor has a documented Grants Oversight Process.
 - ☐ Grants Oversight process document outlines specific steps for gathering documents requested for grant applications. This includes the scope of project, cost estimates, projected timelines of completion, and necessary internal approvals. Process document also includes steps for validating the accuracy of requested documentation and process for submission to the grantor.
 - ☐ Grants Oversight process document outlines roles and responsibilities for managing grant funds. This includes coordination and communication of progress reports and completion schedules with the grantor in accordance with grant specifications. Process document also includes detailed steps regarding the oversight, management, and proper usage of funds toward the awarded project.
 - ☐ Grants Oversight process document outlines specific steps for grant closeout. This includes the preparation and submission of required FAA forms, progress reports, and other documents required by grant award. Process document also includes steps for validating the accuracy of required forms prior to submission to the grantor.
 - ☐ Grants Oversight process document outlines specific steps for grant records management. This includes invoice and receipt retention, maintenance of all progress reports, time schedules, and any additional documentation in accordance with grant specifications.
 - ☐ Grants Oversight process document has been reviewed and updated within the last 3 years.
- ☐ **Disbursement.** The sponsor has a documented Disbursement Process.
 - ☐ Disbursement process document outlines the specific steps involved in the disbursement process. Steps should document the support required in order to make a disbursement. Example items include purchase order, invoice, and other necessary authorizations.
 - ☐ Disbursement process document outlines which individuals have been authorized to release disbursements. This section should also include specific segregation of duties of individuals' responsibilities and necessary authorizations and approvals for disbursing funds.
 - ☐ Disbursement process document outlines procedures for reconciliations.
 - ☐ Disbursement process document has been reviewed and updated within the last 3 years.

- ☐ **Business Continuity.** The sponsor has a documented Business Continuity Process.
- ☐ Business Continuity process document outlines contingency plans in the case of disaster.
 - ☐ Business Continuity process document outlines contingency plans in the event of resource turnover. This includes the loss of 2 or more key resources heavily involved in normal business operations, including leading teams, approving expenditures and procurement, and overseeing Sponsor projects.
 - ☐ Business Continuity process document outlines a list of emergency contacts in the case of disaster.
 - ☐ Business Continuity process document outlines data retention requirements (i.e. data backup requirements, storage requirements, etc.).
 - ☐ Business Continuity process document specifies instructions for resuming operations in the case of disaster.
 - ☐ Business Continuity process document has been reviewed and updated within the last 3 years.

Section 2 – Sponsor Information Technology Infrastructure

Check the **one** response below that **best** describes the current status of the Information Technology environment at the sponsor's airports named at the top of this form.

- ☐ **Sponsor uses only manual methods to conduct business** (Some examples follow)
 - Sponsor communicates with contractors via phone call or manual hand-written letters.
 - Sponsor keeps documentation by manual paper trail and uses storage cabinets.
- ☐ **Sponsor uses a mix of manual and electronic methods to conduct business** (An example follows)
 - Sponsor keeps some documentation in printed form and some as electronic files.
- ☐ **Sponsor uses only electronic methods to conduct business** (Some examples follow)
 - Sponsor keeps all documentation as electronic files.
 - Sponsor makes maximum use of electronic email and attachments.
 - Sponsor uses web conferencing software for online meetings.

Sponsor Certification & FAA Acceptance

I certify that the above information regarding the sponsor named above is accurate and represents the airport sponsor's existing internal controls.

Airport sponsor's signature: _____ **Date:** _____

I accept the certification submitted by the airport sponsor and believe it to be accurate based on my professional expertise.

Responsible FAA staff signature: _____ **Date:** _____