

**NHDOT/Bureau of Aeronautics
AIP Grant Oversight Risk Assessment
Sponsor Certification Checklist**

Airport Sponsors: Below is a list of questions designed to assist the NHDOT with assessing current policies, procedures, and infrastructure in place within your control environment. Please take a few moments to complete the checklist by selecting all that apply to your environment.

Once the checklist is completed, please sign and return a copy to NHDOT/Bureau of Aeronautics.

A. Airport Sponsor Name and Airports Owned or Operated by the Sponsor	
Introduction: The purpose of this document is to assess whether the airport sponsor has policies, procedures, and Information Technology infrastructure supporting the categories below. Please read each section and checkmark all that apply to the Sponsor. Upon completion of this form, please return it to the Federal Aviation Administration.	
<i>Section 1 -Sponsor Policies and Procedures Please select all that apply to the Sponsor listed in field A.</i>	
<input type="checkbox"/>	Sponsor has a documented <i>Procurement</i> Process.
<input type="checkbox"/>	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.
<input type="checkbox"/>	Procurement process document specifies which individuals have been authorized to approve procurement transactions.
<input type="checkbox"/>	Procurement process document outlines data retention requirements.
<input type="checkbox"/>	Procurement process document outlines purchase card usage and authorizations (if applicable).
<input type="checkbox"/>	Procurement process document outlines processes for goods and services receipt and acknowledgement.
<input type="checkbox"/>	Procurement process document outlines processes for invoice reconciliations and exception handling.
<input type="checkbox"/>	Procurement process document has been reviewed and updated within the last 3 years.
<input type="checkbox"/>	Sponsor has a documented <i>Grants Oversight</i> Process.
<input type="checkbox"/>	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.
<input type="checkbox"/>	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.
<input type="checkbox"/>	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.
<input type="checkbox"/>	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.
<input type="checkbox"/>	Grants Oversight process document has been reviewed and updated within the last 3 years.

<i>Section 1 - Sponsor Policies and Procedures (Cont'd)</i>	
<input type="checkbox"/>	Sponsor has a documented <i>Disbursement Process</i> .
<input type="checkbox"/>	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.
<input type="checkbox"/>	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.
<input type="checkbox"/>	Disbursement process document outlines procedures for reconciliations.
<input type="checkbox"/>	Disbursement process document has been reviewed and updated within the last 3 years.
<input type="checkbox"/>	Sponsor has a documented <i>Business Continuity Process</i> .
<input type="checkbox"/>	Business Continuity process document outlines contingency plans in the case of disaster.
<input type="checkbox"/>	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.
<input type="checkbox"/>	Business Continuity process document outlines a list of emergency contacts in the case of disaster.
<input type="checkbox"/>	Business Continuity process document outlines data retention requirements (i.e. data backup requirements, storage requirements, etc.).
<input type="checkbox"/>	Business Continuity process document specifies instructions for resuming operations in the case of disaster.
<input type="checkbox"/>	Business Continuity process document has been reviewed and updated within the last 3 years.
<i>Section 2 - Sponsor Information Technology Infrastructure Please checkmark the response that best describes the Information Technology environment at the Sponsor named in field A. Additional descriptions are included to assist in determining the appropriate response.</i>	
<input type="checkbox"/>	Sponsor utilizes manual methods to conduct business.
-	Sponsor communicates with contractors via phone call or manual hand-written letters.
-	Sponsor retains documentation through manual paper trail and storage cabinets.
<input type="checkbox"/>	Sponsor utilizes a mix of manual and electronic methods to conduct business.
-	Sponsor communicates with contractors via phone, as well as e-mail.
-	Sponsor retains documentation manually, as well as electronically.
<input type="checkbox"/>	Sponsor utilizes electronic methods to conduct business.
-	Sponsor communicates with contractors via e-mail.
-	Sponsor retains documentation electronically.
B. I certify that the above information regarding the Sponsor named in field A is accurate and represents the airport sponsors existing internal controls.	
Airport Sponsor Signature Date	
C. I accept the certification submitted by the airport sponsor and believe it to be accurate based on my professional judgment.	
Responsible NHDOT/Bureau of Aeronautics Staff Signature Date	