



U.S. Department  
of Transportation  
**Federal Aviation  
Administration**

## **FAA Form 5100-140, Performance Report**

### **Paperwork Reduction Act Burden Statement**

A federal agency may not conduct or sponsor, and a person is not required to respond to, nor shall a person be subject to a penalty for failure to comply with a collection of information subject to the requirements of the Paperwork Reduction Act unless that collection of information displays a currently valid OMB Control Number. The collection of this information is addressed under OMB control number 2120-0569. Public reporting for this collection of information is estimated to be approximately 8 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, completing and reviewing the collection of information. All responses to this collection of information are required under 49 U.S.C. Section 47105 to retain a benefit and to meet the reporting requirements of 2 CFR 200. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden to: Information Collection Clearance Officer, Federal Aviation Administration, 10101 Hillwood Parkway, Fort Worth, TX 76177-1524.



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## Performance Report

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Date Submitted:

Grant Number:

Airport:

Location:

Submitted by:

### Reporting Period

Period Start Date:

Period End Date:

### Grant Period of Performance

Grant Start Date:

Grant End Date:

### Actual Accomplishments vs. Baseline Performance Goals

Task Item	Baseline Schedule	Revised Schedule	Completion Date

## **Explanation for Slippage of Goals**

Provide explanation for tasks when baseline goals are not met. Provide revised schedule based on estimated impact of slippage for all subsequent task items.

## **Summary of Cost Overruns**

Provide summary of additional costs, change orders, etc. for this period.

## **Impact to Other Airport Improvement Program (AIP) Funded Projects**

*(Check one)*

No Impact (Check only if there is no impact to other AIP funded projects.)

Potential Impact (Check and identify below impacts to other AIP funded projects.)

## **Impacts to Passenger Facility Charge (PFC), Facilities and Equipment (F&E) or Owner-Funded Projects**

*(Check one)*

No Impact (Check only if there is no impact to PFC, F&E, or Owner-funded projects.)

Potential Impact (Check and identify below impacts to PFC, F&E or Owner-funded projects.)

## Performance Report Terminology

**Baseline Schedule:** Anticipated date for individual tasks the Sponsor establishes at the time of grant execution.

**Grant End Date:** The end date of the grant period of performance; generally 1,460 days from the grant start date.

**Grant Start Date:** Date on which Sponsor executed the grant agreement.

**Performance Goal:** A target level of performance against which actual achievement can be compared (2 CFR § 200.76).

**Period of Performance:** Time during which the sponsor may incur new obligations to carry out project.

**Potential Impact:** The effect delays on this AIP project may have on other projects at the airport.

**Reporting Period:** Intermediary timeframe that current report addresses.

**Revised Schedule:** New date established for task as the result of schedule slippage.

## Performance Reporting Requirement

### Non-Construction Projects

A sponsor must submit a Performance Report at least annually, but not more than quarterly, until the grant period of performance end date or upon completion of the non-construction project (2 CFR § 200.328). The FAA may require submittal of the Performance Report at a greater frequency (e.g. monthly) for a sponsors the FAA deem are at an elevated risk for non-compliance with grant terms and conditions (2 CFR §200.328 and § 200.338).

The sponsor must submit each Performance Report within 30 days of the end of the reporting period. Sponsors must not submit the Performance Reports in batches at the end of the project. If a significant development, such as a major schedule or project cost change, occurs between Performance Reports, the sponsor must notify the FAA Airport District Office ADO. The FAA ADO may require the Sponsor to submit an additional Performance Report to assure effective compliance with federal requirements.

Tracked accomplishments will vary per the type of project. The following examples list common milestones the FAA expects sponsors to monitor per specific project types. Sponsor may track additional milestones that measure project performance for their own benefit.

1. Design Only Projects:
  - Establishment of A/E contract
  - Notice-To-Proceed to Architecture/Engineering (A/E) firm
  - Final plans and specifications
  - Submit Design Grant Closeout (SF-271, Invoices)

## 2. Land Projects

- Complete property Closure
- Record grant with local Register of Deeds
- Submit Grant Closeout Documentation (including Exhibit A property map)

## 3. Planning Projects

- Establish planning consultant agreement
- Approval of Critical Design Aircraft/Forecast
- Review Documents Completed
- Final Signed Documents
- Submit Grant Closeout Documentation

## 4. Equipment (Non-construction)

- Solicit for bids
- Award of Contract
- Acceptance inspection
- Submit grant closeout documentation

### **Construction Projects**

The FAA has determined that sponsor submittal of FAA Form 5370-1, Construction Progress and Inspection Report, satisfies the performance reporting requirement. FAA Form 5370-1 is discussed in more detail in the current version of Advisory Circular 150/5370-6, Construction Progress and Inspection Report – Airport Improvement Program (AIP). 2 CFR § 200.328 (49 CFR § 18.40) is not explicit on the frequency of performance reporting on construction projects. 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.

- The sponsor must submit FAA Form 5370-1 to the ADO for each fiscal quarter until the construction project is complete.
- 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).
- 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.
- 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.