



Airport Grant Preapplication Checklist

(COMPLETE ONE CHECKLIST PER GRANT)

Airport Name: _____ **Date Prepared:** _____

SAM CAGE code #: _____ **SAM Expiration Date:** _____

Project Description: _____

We do not plan on having a project this fiscal year. The FAA is authorized to carry our entitlements into the next fiscal year. (If checked, sign below, and return to ADO.)

Items Required with Preapplication

No.	Document	Yes	No	N/A	Comments Attached
1.	Project Schedule (NOTE FAA DUE DATES)				
2.	Standard Form 424, Form 5100-100 (parts II-IV for airport development grants), Form 5100-101 (parts II-IV for planning grants) (Includes project cost breakdown and sketch)				
3.	Project Narrative and Justification (for Planning or Environmental Projects include Scope of Work)				
4.	Environmental Documentation (Is the complete environmental documentation matching the potential application project description included?) (Attached or previously submitted to ADO)				
5.	Construction Safety Phasing Plan/Airspace				
6.	Exhibit A (SOP available) (attached or previously submitted to ADO)				
7.	Title Certificate or Long Term Lease Agreement (at the request of ADO)				

Note: If you cannot complete any of the above documents with this submittal, explain in the space provided on page 2 and provide the expected submittal date, but no later than the date specified in the Federal Register.

 Sponsor's Designated Official Representative (Official with authority to sign Grant Agreement) (Type or Print)

Date: _____

 Sponsor's Designated Official Representative (Signature)

The purpose of this checklist is to identify some of the requirements and considerations associated with requesting Airport Improvement Program (AIP) funds. Airport Sponsors should read and consider each of the items carefully.

Some of the items can be answered by simply checking the "Yes" and "No" boxes while others require providing additional information as part of the airport's request for AIP funds.

Common Key Requirements or Considerations

Clear Approaches Per 49 USC § 47107(a)(9).

The sponsor must take appropriate action to ensure that terminal airspace required to protect instrument and visual operations to the airport (including operations at established minimum flight altitudes) will be cleared and protected by mitigating existing, and preventing future, airport hazards. (see 5010-Airport Master Record)

Bid Protest Procedures.

The sponsor requirements for bid protests and appeals is contained in 49 CFR § 18.36(b)(12)

Reimbursable Agreement.

The cost for reimbursable agreements between the sponsor and a federal agency is allowable if the cost is necessary for the project and the other federal agencies statutes allow this action. For instance, 49 USC § 106(l)(16) allows the FAA to enter into reimbursable agreements in order to carry out the functions of the FAA. An example of this is a reimbursable agreement between a sponsor and the FAA Air Traffic Organization (ATO) for the purpose of having the ATO relocate an FAA-owned navigational aid that is required by an AIP funded project.

Non-Fed Coordination.

If any type of NAVAID (PAPI, PLASI, VASI, MALS, MALSR, ILS, etc.) is to be installed or relocated as part of the project, the FAA Non-Fed Coordinator must be notified and appropriate airspace studies completed. The airspace studies must be completed before the work can be included in a Federal aid project. These studies can take up to a year to complete.

Required Forms (as applicable).

Agreement for Transfer of Entitlements (FAA Form 5100-110); NAVAID Forms (PAPIs, AWOS, REILs); Modification of Airport Design Standards, Buy American Approval, Certificate of Economic Necessity, SRE Calculation, AIP Revenue-Generating Facility Eligibility Evaluation Form and attachments. Please contact your Program Manager if you cannot find the above forms on the Airports web site.

ADDITIONAL INFORMATION:

“Required With Preapplication” Instructions

1 - Project Schedule

In addition, the sponsor must develop a realistic project schedule that will ensure that the grant can proceed in a timely manner. The sponsor must coordinate this schedule with the ADO upon ADO request. The schedule must set realistic sponsor deadline dates for key steps in the grant process because a sponsor's failure to complete these steps in a timely manner may seriously impact or delay project funding (*see attached form*).

Please take note of FAA due dates.

2 – Grant Application Package

Application for Federal Assistance (SF 424)

Application form SF 424 is the Application for Federal Assistance, more commonly known as the “Grant Application.” The SF 424 can also be used as the Pre-application or a Changed/Corrected Application. We will validate your project for the upcoming fiscal year by using the SF 424 as a Pre-application.

When you are filling out the Pre-application, number 15, “DESCRIPTIVE TITLE OF APPLICANT’S PROJECT,” provide all the details of what is going to be funded. Provide all the details and costs for all the specific elements of work that are going to be funded (for example runway extension, taxiway extension, and lighting).

For the funding portion, use accurate numbers. If there is a question on the federal dollar amount, give either your respective state office a call or call us at the ADO. Make sure your federal, state, and local dollar figures add up to the total you are showing.

North Dakota airports need to submit the Pre-application directly to the Bismarck office. South Dakota is a Channeling Act State and the Pre-application needs to be approved by the South Dakota Department of Transportation Office of Air, Rail, and Transit before being submitted to the Bismarck office. Minnesota is a channeling Act State and the Pre-applications must be submitted and approved by the Minnesota Department of Transportation before submitted to the Minneapolis office.

Application for Development Projects (Part II through IV) (FAA Form 5100-100)

FAA Form 5100-100, or its equivalent, must be submitted for all projects. The term *its equivalent* 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 estimate, and confirmation that items such as coordination with on airport users has been accomplished.

Application for Planning Projects (Parts II through IV) (FAA Form 5100-101)

For planning projects, sponsors can submit FAA Form 5100-101, or its equivalent, *instead of* FAA Form 5100-100. The term, *its equivalent* 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.

Source for SF 424, FAA Form 5100-100 and FAA Form 5100-101:

<http://www.faa.gov/airports/resources/forms/index.cfm?sect=aip.payments>

Standard Operating Procedures

The FAA Review and Approval of an Airport Improvement Program (AIP) Grant Application Standard Operating Procedures (SOP) was signed and is effective October 1, 2015.

You can find the SOP at <http://www.faa.gov/airports/resources/sops/>. The SOP will assist in completing the PreApplication and Application.

Project Cost Breakdown

The cost summary is an outline of the cost components of the grant. Include all items that the grant is funding (engineering, environmental, construction, etc.).

Below is an example of what a typical cost summary would look like:

Flyville Municipal Airport, Flyville, AK

Project Description: Reconstruct Runway 12/30; Expand Apron;
Install PAPIs for Runway 12/30; Land Acquisition (RPZs)

Brief Item Description	Construction or Land Cost	Engr./Land Incidental	Admin. Cost	Total Cost	Federal Share	Non-Federal
					90%	10%
Reconstruct Runway 12/30	\$1,200,000	\$160,000	\$345	\$1,360,345	\$1,224,311	\$136,035
Land Acquisition (RPZs)	\$150,000	\$3,670	\$200	\$153,870	\$138,483	\$15,387
Expand Apron	\$160,000	\$18,000	n/a	\$178,000	\$160,200	\$17,800
Install PAPIs	\$30,000	\$12,000	n/a	\$42,000	\$37,800	\$4,200
Update ALP	n/a	\$45,000	n/a	\$45,000	\$40,500	\$4,500
Totals	\$1,540,000	\$238,670	\$545	\$1,779,215	\$1,601,294	\$177,922

Project Sketch

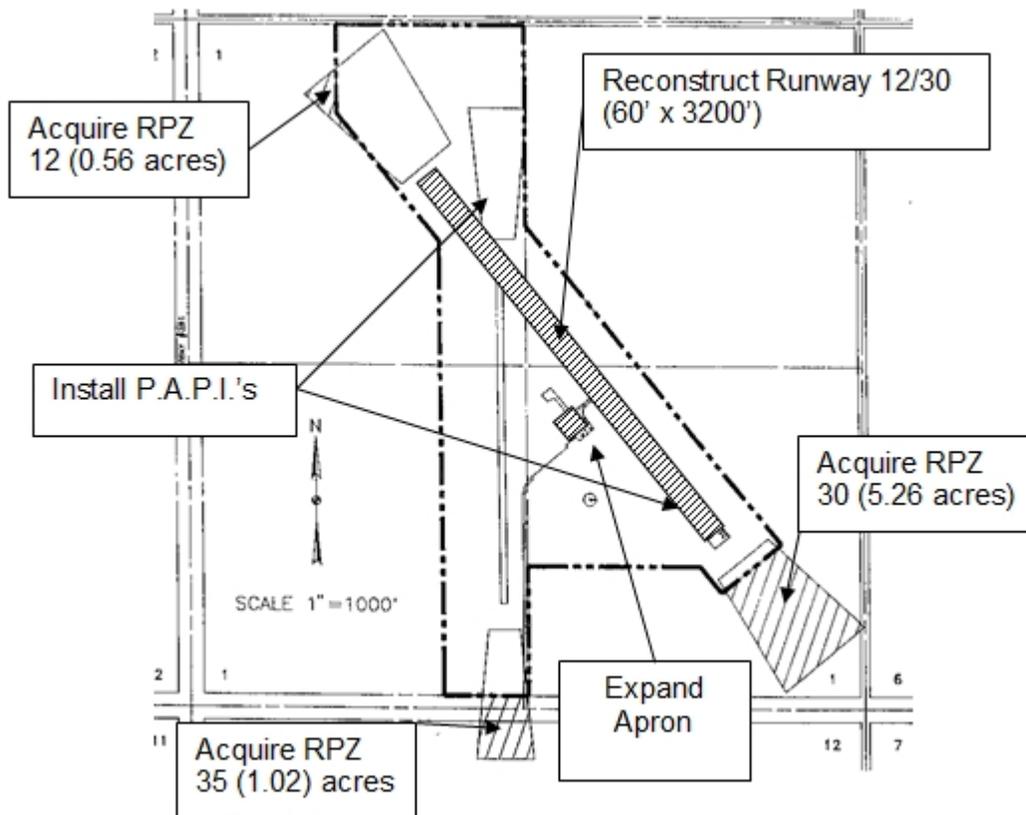
Sponsors must provide an 8 ½" x 11" or larger sketch for each of the projects. The project sketch is used to identify the project as described in the grant application description.

If multiple construction items are part of the project (runway, apron, etc.), make sure they are identified on the project sketch and are detailed enough to determine eligibility.

Ensure that all project components shown in the sketch are on the approved airport layout plan (ALP); and, furthermore, all aspects of the project(s) have been reviewed and approved within the applicable environmental finding.

A typical sketch for the above cost summary sample would look like the figure below:

FLYVILLE MUNICIPAL AIRPORT, FLYVILLE, AK



Project Description:

Reconstruct Runway 12/30; Install P.A.P.I.'s for Runway 12/30;
Update ALP; Land Acquisition (RPZ's).

3 - Project Narrative (Justification)

Please include answers to the following questions in your justification for each project in the Grant:

1. What is the project? (*Please provide a separate narrative for **each project item** in the Grant.*)
 - a. If a construction project, is the project rehabilitation or new/reconstruction?
 - b. If rehabilitation, what type of rehabilitation?
 - c. If pavement, include PCI or pavement condition explanation.
 - d. Provide dimensions of all construction area in feet for runways, taxiways, and square yards for aprons.
2. Why is the project being done? (Why is the project needed now?)
3. Is this project phased?
 - a. If yes, what phase is this?
 - b. If yes, how does this phase fit into the larger development need?
4. What is the total AIP funds spend on the project to date, including this project/grant?
5. What is the total AIP funds needed to complete the project?

The ADO must **not** fund projects or project elements that are not justified based on the following three tests:

- **The Project Advances an AIP Policy.**

The ADO must verify that the project advances one of the AIP policies contained in 49 USC § 47101. The basic goals and objectives in these policies include airport safety, airport security, airport capacity, meeting an FAA standard, preserving airport infrastructure through reconstruction or rehabilitation, protecting and enhancing the environment, minimizing aircraft noise impacts, and airport planning. AIP funds must not be used for a project that does not specifically advance one of the AIP policies.
- **There is an Actual Need.**

Per FAA policy, the ADO must determine if there is an actual need for the project at the airport within the next five years (per the definition near-term development per the current version of Advisory Circular 150/5070-6, Airport Master Plans). This includes all subcomponents of the project.
- **The Project Scope is Appropriate.**

The ADO must determine that only the elements that are required to obtain the full benefit of the project are included in the project scope. Any elements that do not meet these criteria must stand on their own separate merit and justification. The current version of FAA Order 5100.39, Airports Capital Improvement Plan, discusses this concept in further detail in the discussions on overall development objective.

Project narratives (justification) should be written so a person completely unfamiliar with the project will understand what the project is and why we are doing it now.

In the case of justifying rehabilitation projects, each state provides pavement management services for all the NPIAS airports. Information about the pavement condition should be used in your justification.

If a grant is to conduct on Environmental Assessment, then the project being evaluated in the Environmental Assessment needs to be justified.

Sample Narratives (Justifications):

Pavement Rehabilitations – The pavement associated with runway 12/30 is 27 years old and has reached the end of its useful life. The latest pavement condition index (PCI) is 65. Pavement rehabilitation (three inch mill and overlay of 60' x 3,000') is necessary to extend the useful life of the runway. NOTE: A Certificate of Economic Necessity must be submitted for pavement maintenance projects like crack sealing and runway marking. Ensure you provide the total, along with the

dimensions, of the project area being rehabilitated and type of rehabilitation (include associated items like pavement fabric, edge drains, elevating runway lights, relocating signs, etc.).

Land - Acquisition of the Runway Protection Zone is necessary to ensure compatible land use and maintain clear approaches. A total of 6.82 acres will be acquired.

Expand Apron – Apron expansion is needed to accommodate aircraft currently using the airport. The existing apron is 12 years old and the number of based aircraft have increased from 12 to 34. A total of 2,000 (10' x 200') square feet (or square yards) of additional apron space is being constructed (including associated items like markings, lighting, signs and tie-downs). Ensure you provide the total, along with the dimensions, of the project area being constructed.

Install PAPIs – Precision Approach Path Indicators (PAPIs) are being installed as a result of a Part 139 certification initiative to provide vertical guidance on opposite runway ends that have an ILS. Ensure flight inspection and PAPI certification costs are included.

Runway Edge Lights – The existing medium intensity runway lighting (MIRL) system is 25 years old and has outlived its useful life. Frequent repairs are required to maintain the lighting system. A new system is necessary to maintain a reliable system.

Revenue Producing Projects (hangars, fueling facilities) - Revenue producing facilities, such as fuel farms (AV-GAS or jet) and hangars (60' x 80') (ensure you provide the dimensions of the building), are eligible with non-primary entitlements. A business plan and an AIP Revenue-Generating Facility Eligibility Evaluation Form must be submitted before the project can be approved for AIP funding. This plan must document the consulting fees and operational costs the sponsor will incur in maintaining the facility. The plan must also document the projected income for the facility and basis for the projection to insure that the facility will produce revenue for the airport. It is important to note that a project for a revenue-producing facility will not be approved if the airport's CIP shows unmet airside needs, penetrations to approach surfaces (identified on the 5010 Airport Master Record), or projects that rely on discretionary funding or state apportionment in the succeeding 2 years. Consult the ADO on eligibility of the project.

Snow Removal Equipment (SRE) and SRE Buildings – Justification should be submitted in accordance with “Guide for Justifying Snow Removal Equipment Revision 2010” and “Guide for Justifying Snow Removal Equipment Buildings Revision 2010. (Ensure you provide the dimensions of the building.)

Terminal Building_ Commercial Terminals. Since only public areas (areas associated with the handling of passengers or baggage) are eligible in a terminal building, there are normally portions of the terminal building that are not eligible for Federal participation. The percentage of Federal participation is normally determined by establishing a ratio of eligible and ineligible costs. This percentage is normally determined through a review of drawings that identify the use and function of all space in the terminal. This review and determination must be accomplished before the grant is issued so the airport can plan for the appropriate funding requirements, and the grant can be written with the agreed-upon percentage of participation. There is not a standard for this drawing, but it should be a clear representation of the building with the square footage of each area identified. (Ensure you provide the dimensions of the building.)

General Aviation Terminal_ GA terminals are eligible for construction using nonprimary entitlements. GA terminals are limited to meet the basic needs of public users unless sufficient justification for additional area is approved. (Ensure you provide the dimensions of the building.)

Wildlife Fence – The USDA or qualified wildlife biologist has identified deer as a potential threat to aircraft operations. The installation of a wildlife fence is necessary to keep animals from entering

aircraft operations areas. Attached is documentation from the USDA or qualified wildlife biologist supporting the need for a wildlife fence (see Order 5100.38 for required documents). (Ensure you provide the dimensions of the fence (length and height).)

4 - Environmental

Per 49 USC§ 47106(c), any airport project funded with AIP funds requires an environmental finding (Categorical Exclusion, Finding of No Significant Impact, or Record of Decision) prior to initial programming. The requirements for environmental findings are included in the current version of FAA Order 5050.4, National Environmental Policy Act (NEPA) Implementing Instructions for Airport Projects.

5 - Construction Safety Phasing Plans/Airspace

The most current version of Advisory Circular 150/5370-2, Operational Safety on Airports during Construction, outlines when a sponsor is required to submit a construction safety phasing plan. The ADO must review and approve or disapprove all required construction safety phasing plans in writing. This ADO responsibility cannot be delegated and is not covered by sponsor certification.

For AIP projects that impact the airport layout plan (ALP), the sponsor must obtain an FAA airspace determination to add the project to the ALP. This stems from two requirements found in 49 USC § 47107(a)(16). The first requirement is that the sponsor must maintain a current ALP. The second is that the sponsor must not make an alteration to the airport unless the ADO has determined that it will not adversely affect the safety, utility, and efficiency of the airport. The sponsor meets these two requirements for the project by obtaining an airspace approval from the ADO to add the project to the airport layout plan.

Per FAA policy, the ADO must not program the project that needs to be added to the ALP unless the ADO has approved the associated airspace determination. In limited cases, the ADO has the option to program the project without airspace approval; however the ADO must complete the airspace determination prior to issuing the grant per 49 USC § 47107(a)(16)(C).

For further guidance in preparing the construction safety phasing plan, please see the FAA Evaluation of Sponsor's Construction Safety and Phasing Plans Funded by the AIP or PC Programs Standard Operating Procedure (SOP) located at <http://www.faa.gov/airports/resources/sops/>.

6 - Exhibit A

A current Exhibit A (airport property inventory map) must be on file with the ADO. The primary intent is to identify all land that is designated airport property and to provide an inventory of all parcels that make up the airport. An Exhibit A must be included with each application unless there has been *no change* in the Exhibit A since the last AIP project and/or last Exhibit A submittal. If there has been no change, the previous Exhibit A must be referenced within the grant application (Part III, Section E – Remarks). New airports receiving a grant for the first time must submit an Exhibit A depicting the land required to support the facilities needed to operate the airport.

The Airports organization is developing Standard Operating Procedures (SOP) for high-value field activities. Standardizing these activities will create efficiencies, increase quality control, and ensure consistency in the way we administer programs across the country. The SOP for the Exhibit A can be found at <http://www.faa.gov/airports/resources/sops/>.

7 - Title Certificate or Long Term Lease Agreement

Sufficient property interest is required for those areas in which project construction will be occurring. The ADO has the option of requiring applicable copies of the title certificate or long-term lease agreement (i.e. if there have been changes in land ownership or lease agreement).

AIRPORT PROJECT SCHEDULE

LOCATION:

PROJECT NO:

No.	ITEM (If appropriate)	DATE		COMMENTS
		FAA (Due)	Sponsor (Sent or will send)	
1.	Submission of Environmental Document	9/1/2016 – 12/15/2016		
2.	Provide Airspace <i>(For new structures only)</i>	12/15/2016		
3.	Verify Project is on ALP <i>(*Update to ALP)</i>	12/15/2016		
4.	Submission of a Benefit-Cost Analysis	12/15/2016		
5.	Selection of Sponsor's Engineer <i>(Within 5 year term or project included in associated RFQ)</i>			
6.	Provide DBE plan and/or revisions to AGL-9 <i>(See DBE and ACDBE Reporting Requirements for Airport Grants)</i>			
7.	Provide Preapplication Package to ADO	12/15/2016		
8.	Provide Final Notice of Intent to Use Funds <i>(via Preapplication Package)</i>	See Date in Federal Register		
9.	Professional Services Agreement	1/15/2017		
10.	Submit Preliminary Engineers Design Report <i>(Verify rehabilitation method or pavement section)</i>	2/1/2017		
11.	Request deviations to FAA design standards form with supporting documents			
12.	Submit project safety phasing plan for FAA approval	2/15/2017		
13.	90% Complete Plans and Specs (Part 139) <i>(45 days prior to advertising bids)</i>			
14.	90% Complete Plans and Specs (Other) <i>(30 days prior to advertising bids)</i>			
15.	Submit all transfer agreements to FAA office	5/15/2017		
16.	Obtain wage rates			
17.	Advertise for bids			
18.	Bid Opening			
19.	Bid Tab Submitted			
20.	Application Submitted <i>(Submit by date required by FAA/MnDOT)</i>	See Date in Federal Register		
21.	Acceptance of Grant Offer			
22.	Award of Contract			
23.	Const. Management Plan			
24.	Preconstruction Meeting/Notice to Proceed			
25.	Construction Start			
26.	Construction Completion			
27.	NAVAIDS Commissioned			
28.	Exhibit A revised			
29.	5010 updated			
30.	ALP revised/Construction As-Builts			
31.	AGIS Updated			
32.	Project Closeout Report			