



Standard Operating Procedure Addendum

FAA Review and Approval of a State Block Grant Program Grant Application

A. PURPOSE

To establish uniform procedures for the Federal Aviation Administration (FAA) Office of Airports (ARP) that address the review and approval of a State Block Grant Program (SBGP) application, this document serves as an addendum to ARP SOP 6.00, FAA Review and Approval of an Airport Improvement Program (AIP) Grant Application and should be used in conjunction with that document for SBGP-specific grant application packages.

B. SCOPE

This Standard Operating Procedure (SOP) applies to all SBGP applications that seek Federal funding. For the purpose of this SOP, the term “States” refers to all states that are currently enrolled within the FAA SBGP.

C. CANCELLATION

This SOP does not cancel a previous version.

D. LIMITATIONS OF THIS SOP ADDENDUM

This SOP outlines the procedures required to comply with the latest FAA policies listed below and serves as an addendum to ARP SOP 6.00, FAA Review and Approval of an Airport Improvement Program (AIP) Grant Application. While it does not establish or modify applicable FAA policies, it clarifies the roles of the FAA and SBGP states regarding grant applications.

E. APPLICABLE REGULATIONS, POLICY, AND GUIDANCE

Requirements identified within this SOP originate in or are further described in various FAA publications including Orders, Regulations, and Advisory Circulars. See the current versions.

- a. Advisory Circular 150/5020-1, Noise Control and Compatibility Planning for Airports
- b. Advisory Circular 150/5100-17, Land Acquisition and Relocation Assistance for Airport Improvement Program (AIP) Assisted Projects
- c. Advisory Circular 150/5100-21, State Block Grant Program

- d. Advisory Circular 150/5300-13B Change 1, Airport Design
- e. FAA Order 5090.5, Formulation of the National Plan of Airport System (NPIAS) and Airports Capital Improvement Plan (ACIP)
- f. FAA Order 5100.38, Change 1 Airport Improvement Program Handbook
- g. State Block Grant Program Memorandum of Agreement (MOA)
- h. Title 49 United States Code Chapter 471, Subchapter I – Airport Improvement

F. GRANT APPLICATION REQUIREMENTS AND OBJECTIVES

A State is required to submit a formal grant application as part of requesting federal funding for participating airport(s) planning and/or development. Furthermore, the FAA is required to ensure certain requirements have been met by the application and supporting documentation for accuracy and completeness.

G. IMPLEMENTATION

This SOP is to be implemented at FAA Regional and Airport District Offices that administer Federal funds to States participating within the SBGP; and as such, review and approve grant applications.

H. DISTRIBUTION

This SOP is distributed to the FAA’s Office of Airports (ARP), participating States, and all interested parties. The SOP will be available electronically on FAA website, Tools and Resources for Airport Projects, Airport Standard Operating Procedures.

I. CHANGE TABLE

| Date of Change | SOP Version | Page Changed | Reason for Change |
|----------------|-------------|--------------|-------------------|
| | | | |
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FAA Review and Approval of a State Block Grant Program Grant Application

1. ROLES AND RESPONSIBILITIES

The FAA Office of Airports is responsible for managing Federal funds for States participating in the SBGP. As part of this role, it reviews and approves state applications, which is a critical step before issuing a Grant Offer or Agreement. The State shall follow all applicable statutory authority including 49 U.S.C. § 47110(b). The State shall also follow all guidance on the appropriate use of SBGP funds as outlined in the MOA, including but not limited to, FAA Order 5100.38 and AC 150/5100-21, as well as other relevant Federal requirements. For the purpose of this SOP, the term “Airports District Office” (ADO) is used to reference the FAA Office of Airports office that works directly with the State. In Regional Offices (RO) that do not have ADOs, the use of the term ADO refers to the branch/section that works directly with the State.

2. PROCEDURE

FAA review and approval of a State’s application is a critical part of a systematic review process that begins with the initial planning stages of a project and ends with the grant award. It is useful to understand the grant application in the overall context of project/grant review and approval. For this reason, Figure 1 depicts the graphical representation of the generalized project/grant process, which is further described in Table 1.

Figure 1. General Grant Application Process Flow

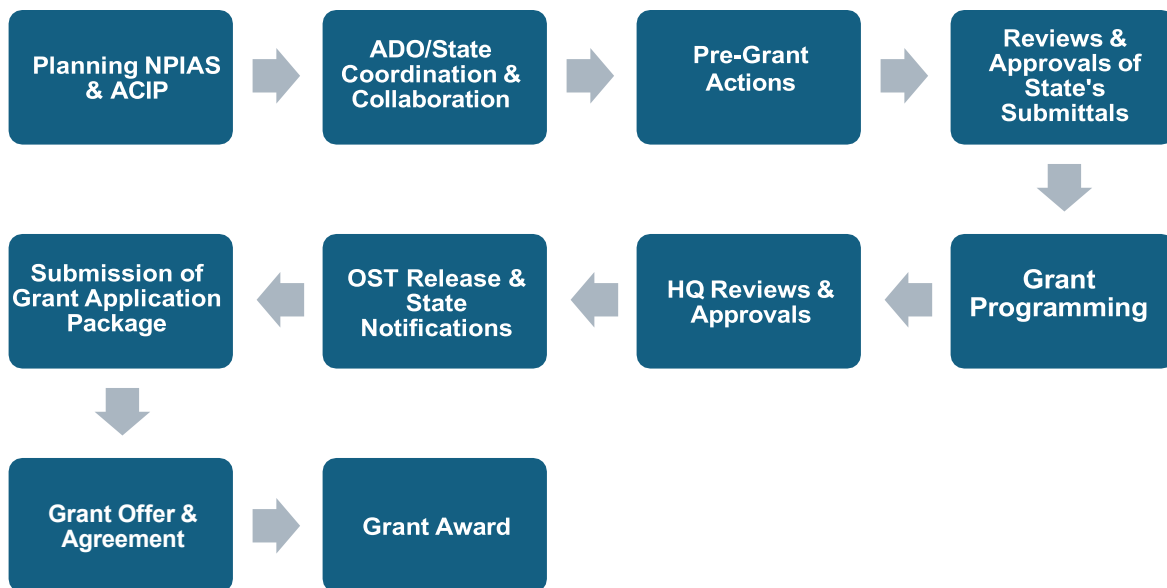


Table 1 Grant Process

| STEP | RESPONSIBLE OFFICE | ACTION | DESCRIPTION |
|------|--------------------|---|---|
| 1 | State | Planning NPIAS & ACIP | The project needs & justifications are established. Requirements of applicable environmental laws & regulations are discussed & considered during early stages of planning. |
| 2 | State, ADO | ADO/State Coordination & Collaboration | Coordination between the ADO and State on the likelihood of the FAA being able to consider funding for a given project. |
| 3 | State | Pre-Grant Actions | Typical activities include, but are not limited to, airspace studies, initiating PERADA, Airport Layout Plan (ALP), and environmental. |
| 4 | ADO | Reviews & Approvals of State's Submittals | The ADO ensures statutory, regulatory and grant requirements have been considered prior to a grant being programmed. |
| 5 | ADO | Grant Programming | The action of creating a proposed grant in AIP System of Airport Reporting (SOAR) and moving it through review prior to the reservation of funds. |
| 6 | RO, ARP | HQ Reviews & Approvals | The grant is reviewed within the FAA Office of Airports for approval. |
| 7 | OST | OST Release & State Notifications | Office of the Secretary (OST) notifies the appropriate congressional office to publicly announce the grant. |
| 8 | State | Submission of Grant Application Package | The grant application package must be complete & accurate prior to grant offer being made. |
| 9 | ADO | Grant Offer & Agreement | The ADO ensures that the grant offer package includes all items listed in FAA Order 5100.38, before sending to the State for review and signature. |

3. PRE-GRANT ACTIONS

3.1. Planning NPIAS/ACIP and ADO/State Coordination

It is important that the ADO and State remain in close communication and collaboration before and after the application process. The State shall provide any information requested by the ADO to perform a risk evaluation prior to the State receiving any Federal funds, per [2 CFR § 200.206](#). Applications must be submitted annually and may include the State's Capital Improvement Plan (CIP), as approved and coordinated with the ADO. In lieu of submitting their CIP, the State has the option to submit a breakdown of requested block grant funds for the current fiscal year (FY) grant cycle by airport name, location identifier, project title and phase, and fund type (including FY). Additionally, if known at the time of the grant application, the breakdown may specify any funds that will be transferred to another airport.

3.2. Review of Project Evaluation Report and Development Analysis (PERADA)

Before moving to the grant review and submission stage, certain statutory and regulatory requirements must be met. The ADO uses the PERADA checklist to ensure that eligibility

questions related to the sponsor/state, project, funding, and grant requirements are properly addressed. At this initial stage, the State may offer the ADO an external checklist; however, the ADO remains responsible for verifying that all requirements outlined in the PERADA checklist are or will be fulfilled before the grant is issued.

4. GRANT REVIEW AND SUBMITTAL

4.1. Grant Application Package

The State must submit complete and accurate grant application package(s) prior to the ADO issuing a grant offer. The standard grant application forms and instructions are located at the following website: <http://www.faa.gov/airports/aip>.

Table 2 outlines the mandatory and optional documents required for state grant applications, organized by funding type. The ADO may request that the State submit any additional documentation required to complete the grant application, including those items listed as optional in Table 2 below. These documents constitute the minimum requirements the FAA may ask for during periodic review of SBGP performance. States have the option to submit additional items, such as a state application for matching funds. More detailed information on Sponsor/sub-awardee grant application requirements, sample documents, and other information can be found in FAA ARP SOP 6.00.

The ADO reviews the grant application following the guidelines outlined in Chapter 5 of FAA Order 5100.38. This review process ensures the application is accurate and complete before the ADO makes a final decision regarding a grant offer. If any documentation is missing or deemed unacceptable during the review, the ADO must request that the State provide the necessary information. The following sections detail the requirements by funding type and outline what the ADO must review to ensure the application adequately supports the issuance of a federal grant.

4.2. Nonprimary Entitlement and/or State Apportionment Grant Application Package

The Nonprimary Entitlement (NPE) and/or State Apportionment (SA) grant application package should include a breakdown of requested block grant funds for the current FY grant cycle by airport name, location identifier, project title and phase, and fund type (including FY). Projects included in the application must meet the obligation requirements in the MOA. The ADO will review the CIP or project list to ensure that the State has plans to sub-award the requested funds within twelve (12) months of the anticipated grant award date. After concurrence the ADO may move forward according to Grant Programming.

The final NPE and SA block grant application deadline will coincide with the deadline for airport sponsors to submit a final grant application for grants that will be funded with entitlements funds only, also set yearly by FAA.

The grant application should not include projects where the State is acting as a planning agency to perform airport system planning or when the State is assuming sole sponsorship of development as with various locations grants. The FAA must administer these grants because the State will be the sole sponsor and cannot administer funds to themselves.

4.3. Competitive Grant Application Package

The ADO will notify each State in advance about anticipated or announced competitive projects planned for the upcoming FY. For these competitive projects, the State must submit a separate grant application package for each project, in accordance with Table 2 below, FAA Order 5100.38, and any guidance specific to the program such as AIP Discretionary, Supplemental Discretionary, Infrastructure Investment and Jobs Act (IIJA) Competitive, etc. The ADO may request a draft application package. Once there is concurrence on the draft application package, the ADO may proceed in accordance with Grant Programming.

Deadlines for competitive applications differ and will be coordinated between the State and the ADO on a project-by-project basis. This coordination ensures that the State receives bids in time to submit grant applications by the published deadline.

4.4. Airport Infrastructure Grant

For the Airport Infrastructure Grants (AIG), the State may submit a draft application package to the ADO, including all available documents listed in Table 2, based on estimates. The ADO will review the draft application package, and if they agree, the ADO may proceed with Grant Programming.

The final AIG grant application package from the State should include all required documents or updates if a draft application was submitted, as outlined in Table 2 and will be based on bids for each project prior to grant issuance.

If the programming action was based on estimates, the ADO will make final adjustments prior to issuing the grant offer to the State.

Table 2. Grant Application Package Contents

| Form Name | Description | NPE/SA | Competitive | AIG |
|--|---|-----------|-------------|-----------|
| Application for Federal Assistance (Standard Form 424) | States must sign and submit the latest version of this form as part of all grant application packages. The signed grant application is contractually referenced in the grant agreement, and a signed copy must be included in the ADO grant file. | Mandatory | Mandatory | Mandatory |
| Application for Development Projects (Parts II through IV) (FAA Form 5100-100) | This form provides supporting grant information such as the source of the sponsor share, detailed cost breakdowns, project specific information, and confirmation that items such as coordination with airport users has been accomplished. | Optional | Optional | Optional |
| 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. | Optional | Optional | Optional |

| Form Name | Description | NPE/SA | Competitive | AIG |
|--|--|----------|-------------|-----------|
| Detailed Project Narratives and/or Cost Breakdowns (beyond that provided in either FAA Form 5100-100 or FAA Form 5100-101) | Sponsors must provide an additional detailed narrative summary statement and/or a detailed project cost breakdown (beyond that provided in either FAA Form 5100-100 or FAA Form 5100-101) | Optional | Mandatory | Mandatory |
| Project Sketches | Sponsors must provide an 8 ½" x 11" or larger sketch for each of the projects. This sketch must clearly identify the limits of the proposed project and its location on the airport. | Optional | Mandatory | Mandatory |
| Project Documentation Needed For ADO Reasonableness Determination | Sponsors must provide all of the documentation necessary for the ADO to make a cost reasonableness determination for the costs contained in the grant application. | Optional | Mandatory | Mandatory |
| Exhibit A | The ADO must have a current approved Exhibit A (property inventory map) on file prior to issuing a grant. | Optional | Optional | Optional |
| Title VI of Civil Rights | DOT Order 1000.12C requires the FAA to confirm each airport sponsor's probable compliance with nondiscrimination requirements before an award of an AIP or IJA grant. | Optional | Optional | Optional |
| Title Certificate or Long Term Lease Agreement | Sponsors must have good title for the land on which they will be constructing the project. The ADO has the option of requiring copies of the title certificates or long term lease agreement for the grant file. | Optional | Optional | Optional |

Note: The ADO may require the State to submit any additional documentation deemed necessary, including those listed as optional in the table above. States may refer to [Airports Forms](#) for a list of FAA airport forms.

5. GRANT OFFER & AGREEMENT

5.1. Grant Offer

Once a grant is released by OST, the ADO will prepare the appropriate grant documents. The NPE, State Apportionment and/or AIG funds may be programmed and issued in one or more block grants to the State. For all competitive program funding, the ADO will issue individual block grants for each project based on the statutory guidance relating to that particular program.

Grant documents include a cover letter, grant agreement, special conditions, signature pages, and grant assurances. The cover letter, grant agreement, signature pages, and grant assurances must be prepared exclusively using the templates provided in SOAR.

5.2. Special Conditions

Special conditions identify specific requirements that are dependent upon the type of project being funded. The NPE, SA and AIG block grant(s) will include all special conditions, so the State can then apply them to their sub-awards as applicable. The competitive block grants will include only the special conditions that apply for that project that must be included in the associated sub-award. The ADO will provide a list of special conditions in Word format once they are finalized by FAA Headquarters for States to incorporate into their sub-award.

If the ADO adds a special condition to the State's grant, such as, but not limited to, phased projects, whereas the grant offer includes a special condition that requires the State to complete a safe, useful, and usable unit of work within a reasonable timeframe, the condition must be included in the State's sub-award.

5.3. Grant Offer

Acceptance and execution of the grant agreement means the State agrees to comply with Federal requirements, as well as Federal grant assurances, State Block Grant Assurances, and contractual conditions attached to each grant agreement executed between the State and the FAA. The State further agrees to incorporate the applicable set(s) of Federal assurances and contractual conditions contained in each grant agreement in all subawards and contracts executed by the State on behalf of a participating airport to carry out its administrative responsibilities for all grant amounts issued in accordance with [49 U.S.C. § 47128](#).