

ORDER

5100.20B

Includes Changes 1 and 2

**PROGRAM CONTROL AND REPORTING PROCEDURES
AIRPORT GRANT-IN-AID PROGRAMS**

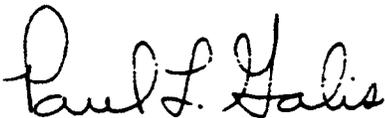


October 27, 1989

**U.S. DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION**

FOREWORD

1. **PURPOSE.** This Order provides information related to fund control and project processing under the Airports Grants Management System. This information supplements the detailed instructions in manuals provided with software developed for the regional and headquarters automated systems.
2. **DISTRIBUTION.** This Order is distributed to all addressees of the ZRP-510 special distribution list and to all Airports District Offices.
3. **CANCELLATION.** Order 5100.20A, Program Control and Reporting Procedures Airport Grant-in-Aid Programs, dated August 3, 1979, is canceled.
4. **FORMS AND REPORTS.** Virtually all forms and reports are generated by the headquarters and regional data base management systems. Eventually all forms will be automated but "hard" copies of forms will continue to be available as long as needed.



Paul L. Galis
Director, Office of Airport
Planning and Programming



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CHAPTER 1. PROGRAM FUNDING PROCESS – OVERVIEW

1-1. GENERAL. This Chapter provides an overview of the funding process and introduces terminology used throughout the process. Order 5100.38, Airport Improvement Program (AIP) Handbook, current edition, contains detailed information on grant processing requirements and legislative fund distributions.

1-2. AUTHORIZATION. Funds are authorized by Congress in legislation. The present authorization is established by the Airport and Airway Improvement Act of 1982 (AAIA), as amended by the Airport and Airway Safety and Capacity Expansion Act of 1987. The Act authorizes specific amounts to be available for grants to airport sponsors (owners), planning agencies, and other public agencies for fiscal years 1988 through 1992.

Former authorizations include the Airport Development Aid Program (ADAP), which was authorized from FY 1970 through FY 1981, and the Federal-aid Airport Program (FAAP), which was authorized from FY 1946 through FY 1969. A few of these grants have not yet reached the final audit/closeout stage.

There are also some "open" projects that were funded with "jobs" money that was authorized by the Surface Transportation Assistance Act of 1983. This Act authorized additional funding for three fiscal years beginning in 1983.

A Planning Grant Program (PGP) and a State Standards Program were separately authorized for several years in the 1970's. Planning is now included in the AIP.

1-3. FISCAL YEAR. The Federal fiscal year begins on October 1 and is named after the calendar year in which it ends. Thus, fiscal year 1992 begins on October 1, 1991, and ends on September 30, 1992.

1-4. APPROPRIATIONS. The annual authorizations appear in grants legislation (the AAIA) in specific dollar levels in the form of "Contract Authority", i.e., the authority for the Federal Government to enter into contracts (issue grants) that will obligate the government to make payments at some future time up to the amount of the contract. This authority, in the absence of further Congressional action, may be used to fund grants. However, Congress has always included language in annual Appropriations Acts that effectively limits annual grant funds to either the authorized level or another level determined by Congress as suitable for a particular year. Technically, grant program funds are not made available in the form of an appropriation (such as the Operations appropriation, which funds our pay checks), but are made available in the form of an annual "obligation limitation." This limitation on grant funds is often loosely referred to as the Grants Appropriation.

Appropriations legislation containing the limitation may be enacted in the form of a "Continuing Resolution," which allows an agency to continue funding programs, usually at levels equal to the previous year, while Congress continues work towards annual appropriations legislation. Occasionally, the Continuing Resolution will be the only appropriations legislation enacted for a fiscal year.

1-5. APPORTIONMENTS. There are two actions referred to as apportionments in the AIP. The AAIA requires an apportionment of funds to be made each October to sponsors and states based on formulas in the Act. This notifies sponsors and states that these funds are available for eligible work but does not involve any transfer of funds. These funds are referred to interchangeably as state or sponsor "apportionments," "entitlements," or "formula" funds. The second type of apportionment is made by the Office of Management and Budget (OMB) to allow the Federal Aviation Administration (FAA) to use Congressionally approved AIP funds. The OMB apportionment is formally requested by the FAA, which provides a financial plan for orderly use of the funds. The financial plan is based on regional submissions of annual program plans as requested by Airports headquarters Program Guidance Letters (PGLs) each spring. The OMB apportionment may contain restrictions on the use of funds, such as restrictions on the amount that may be used quarterly.

1-6. DISCRETIONARY FUNDS. Whereas the apportionment required by the AAIA is limited to entitlements, the OMB apportionment will include entitlements, discretionary, and recovery funds (see paragraph 1-17 for discussion of recoveries). Discretionary funds are funds remaining within the obligation limitation after the formula entitlements are announced. These funds, subject to certain restrictions in legislation, are available for distribution at the discretion of the FAA and are not required to be distributed to specific states and sponsors, as is the case with entitlement funds.

1-7. CARRYOVER ENTITLEMENTS. States and sponsors do not have to use their entitlement funds when they are apportioned. They have 3 years to make a decision regarding the use of such funds and therefore could "carry over" their entitlements for use in the second or third year of the entitlement's lifespan. Since annual obligation limitations do not provide extra funding in any year for such carryover, this carryover must be funded from the discretionary fund account. A large amount of carryover could reduce a year's discretionary fund by a significant amount if many sponsors with carryover funds decide to use their current year and carryover funds. Conversely, in any year when many sponsors decide not to use their entitlements, discretionary funds could be increased to bring the total program up to the obligation limitation.

1-8. PLANNING FIGURES. The Program Branch (APP-520) will issue planning figures in a spring PGL (referred to as the "May" letter) and also via telephone throughout the year. The planning figures do not constitute a transfer of funds but anticipate and usually will be followed by corresponding allotments. Planning figures issued in advance of annual Congressional appropriations legislation may have to be revised if the grants appropriation limitation is lower than expected.

1-9. CAPITAL IMPROVEMENT PLAN. The 1987 amendment to the AAIA established a requirement for a Capital Improvement Plan (CIP). The "May" letter includes planning figures for each of the following five fiscal years for all categories of airports. Within these planning figures, regions develop CIP's which show 5-year development plans for locations holding sufficient priority to be funded within the assigned planning levels.

1-10. ALLOTMENTS. After the FAA receives an OMB apportionment, APP-520 will request the Office of Budget to make an allotment of funds to regions to support previously issued planning figures. Allotments and adjustments to allotments are made throughout the year as required.

1-11. ALLOCATIONS. After a project is approved and announced to the interested Congressional delegation (see paragraph 1-14), regions notify sponsors of an allocation of funds for the project. This is a notification of intent to grant (obligate) funds and does not involve a transfer of funds. Allocations based only on planning figures issued in advance of appropriations legislation may have to be revised or withdrawn if final Congressionally approved program levels are lower than originally expected.

1-12. LETTER OF INTENT AND MULTI-YEAR GRANT. Although any allocation notification to a sponsor is an indication of intent to fund a project, the AAIA authorizes the issuance of a specific Letter of Intent (LOI), which allows the FAA to notify a sponsor that it intends to grant funds in a future year or years if appropriations limitations allow. Another form of advance approval is via a Multi-Year Grant. One difference between an LOI and a Multi-Year Grant is that the LOI will include discretionary funds for future years while a multi-year grant uses future year entitlement funds only.

1-13. STATE BLOCK GRANT DEMONSTRATION PROGRAM. The AAIA authorizes "block" grants to three states for the purpose of allowing these states to conduct a grant program with Federal grant funds given to them in a single sum at the start of a year. Ordinarily, FAA administers all grants within a state, but under the demonstration program the states will administer grants without Federal involvement. The demonstration program is authorized for two fiscal years beginning in fiscal year 1990.

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1-14. CONGRESSIONAL NOTIFICATION. In all Federal grant programs, as a courtesy to Congress, all grant agencies notify Senate and House members of project approvals in their states or districts before notifying others. An allocation, therefore, is not made until this "Congressional release" process is completed by DOT/FAA headquarters offices.

1-15. OBLIGATIONS. The execution (signing) of a grant agreement with a sponsor constitutes an obligation of the U.S. Government to eventually pay the amounts specified in the grant. Obligations of funds are processed through regional accounting offices in two steps: a "reservation of funds" is made before the grant is signed, and an "obligation" is reported when the grant is signed. Total obligations for a year may never exceed the total of funds allotted to a region. There are "gross" and "net" obligations. Gross obligations are the total obligations of all types of funds (including recovered funds) without deducting funds recovered from old obligations. Net obligations are total obligations (including obligations of recovered funds) minus total funds recovered during the year (see paragraph 1-17).

1-16. PAYMENTS (LIQUIDATING CASH AND OUTLAYS). Obligated funds will not be paid until costs are incurred by a sponsor. Payments to a sponsor are made either through processing of payment requests submitted by a sponsor to the FAA or directly from the U.S. Treasury to a sponsor via a Letter of Credit arrangement. Funds for

payments are appropriated separately from grant execution (obligation limitation) funds under an account name of "Cash to Liquidate." These liquidating cash funds are allowed to accumulate and remain available to the FAA until they are actually paid. The actual payment amounts during a year (which may differ from liquidating cash available in a particular year) are referred to in budgets as "outlays."

1-17. RECOVERIES. As adjustments are made to grant amounts based on actual payments, funds may be recovered (deobligated) from existing obligations and under certain circumstances may be reobligated for new projects or for upward adjustments to existing projects. The amount of recoveries that may be reobligated is controlled by OMB and is communicated to regions in the allotment process as a "recovery ceiling." Processing recoveries, since their legislative treatment is complex, is covered in detail in Chapter 7.



CHAPTER 2. PROJECT PROCESSING STAGES

2-1. GENERAL. Project processing is recorded at several major steps from the time a sponsor requests a Federal grant until the grant work is completed and paid for. A summary of nine steps is provided below as a quick introduction to project handling for anyone unfamiliar with the process – detailed instructions for data input at the various steps are in Chapter 4 and in documents developed for regional and headquarters data base management software. On present computer screens the steps or “phases” are numbered from 1 to 9. Consideration is being given to deleting any mention of “phase” and referring to the steps by using the terminology associated with the action accomplished. Thus the present phase 1 would be referred to as the request or preapplication phase. Since phase numbers are still in use on regional and headquarter’s screens as of this writing they are discussed in this chapter. Included at each phase is terminology that is most likely to replace the phase number as changes are made to the data base management systems.

APP-520 requires information on phases 1, 2, 4, 5, 8 and 9, but some regions will track projects through some of the additional phases described below as well as other interim steps included in regional instructions.

2-2. PHASE 1 – ALSO REFERRED TO AS A PREAPPLICATION OR REQUEST FOR AID. The sponsor prepares a request for aid (the form is identified as a preapplication) which provides basic information concerning the project, including location, fund requirements and other pertinent information.

Information from this preapplication is entered into the Grants Management System so that a national tally of all requests on file is up to date for required reports to Congressional committees and other parties requesting information on the backlog of requests.

2-3. PHASE 2 – ALLOCATION OR PROJECT APPROVAL. When funding and priorities allow, the request, or a part of it, is either approved at Airport District Offices (ADOs) or regional level or forwarded to APP-520 for approval. At the approval stage, after Congressional offices are notified of project details, the sponsor is notified of the allocation of funds for his use, usually by letter.

2-4. PHASE 3 – PREAPPLICATION DENIAL. A request is never denied merely because of insufficient funding. However, other factors may require the deletion of request data from the Grants Management System. It may have been entered into the system even though it was filed by an ineligible sponsor or contained only ineligible items of development, etc. To track the history of denied requests, some regions will enter and keep a denial action in the Grants Management System. APP-520 does not need this phase but requires that the request (phase 1) be deleted.

2-5. PHASE 4 – GRANT OFFER OR RESERVATION OF FUNDS. At this point, FAA regional Accounting offices become involved in a project. Accounting is notified (by information on a FAA Form 1413-1, which is generated by the Grants Management System in most regions) of the amount of funds expected to be granted to a sponsor. The regional Accounting office assures that these funds exist in the regional account before a grant is signed. Also, for the first time, detailed funding information, including itemized costs, is required for the headquarters Grants Management System.

2-6. PHASE 5 – EXECUTION OF GRANT AGREEMENT OR OBLIGATION OF FUNDS. This records the signing (execution) of the grant documents by the FAA and the sponsor. Until this point, no legal commitments of funds were made. Now, the signed grant document is a legal contract between the FAA and the sponsor and obligates the Federal government to eventually pay for the work described in the grant at the amount specified. Amendments within ranges specified in legislation may be made if necessary.

2-7. PHASE 6 – PROJECT STARTUP OR CONSTRUCTION BEGINS. This is the date when the project begins (construction starts or land or equipment acquisition or planning begins). APP-520 does not need this data but most regions and ADO’s enter data into regional data bases at this point.

2-8. PHASE 7 – PROJECT COMPLETION. This stage is recorded by the region or ADO when the project is physically completed. At this point, all financial actions, such as audits and final payments have not necessarily been completed. APP-520 does not need phase 7 information.

2-9. PHASE 8 – FINAL PAYMENT OR GRANT CLOSEOUT. This event signifies that all project and financial actions, including final payment based on an audit and a final grant review, are completed.

2-10. PHASE 9 – PROJECT WITHDRAWAL. This is recorded when a sponsor withdraws, by mutual agreement, a project that was previously approved. This type of action will occur when a sponsor decides he is unable to meet certain funding or other grant requirements.

CHAPTER 3. PROJECT AND FUND CONTROL RECORDS – OVERVIEW

3-1. GENERAL. This Chapter describes the types of forms, automated and manual, used during AIP project programming and fund control.

A few regions have most of the following forms automated and are communicating electronically with their Accounting and Budgeting offices via the Regional Grants Management System. The system's computer screens still refer to form numbers that were previously assigned to hard copies of forms and these numbers are used below for ease of identification during discussion.

3-2. AIRPORT IMPROVEMENT PROGRAM FORM (FAA FORM 5100-107). AIP data are developed on several screens in the Grants Management System that correspond to an FAA Form 5100-107. This part of the system contains core data that APP-520 requires to develop AIP reports for management, Congressional budget hearings, an annual report to Congress, quarterly press releases, and to respond to daily requests for program information from government and industry. Data requirements for the FAA Form 5100-107 screens are detailed in system manuals and in Chapter 4.

3-3. APPORTIONMENT AND REAPPORTIONMENT SCHEDULE (SF 132). This form is used in headquarters only. As soon as appropriations are passed by Congress, an apportionment of the approved funds is requested from OMB on this form and OMB signs (approves) the request or else marks it up (revises it) and approves it with restrictions.

3-4. BUDGETARY AUTHORIZATION (FAA FORM 2510-17).

(Allotment Advice – See Chapter 8). Headquarters allots funds to regions, to the extent the OMB apportionment allows, based on regional requests or other coordinated requirements. Regional Accounting and Airports offices receive copies of these forms and regional obligations (grants) are restricted to amounts shown on the allotment advice.

Inactive Funds. Sponsor and state apportioned funds (entitlements) that remain unused after their 3-year lifetime period are classified as inactive funds and may be transferred for use as discretionary funds. Inactive funds will be transferred quarterly (or as necessary) to the discretionary fund by the Headquarters Budget Office on FAA Form 2510-17 based on information supplied by APP-520 on an FAA Form 1413.

3-5. REQUEST FOR CHANGE IN RESERVATION/OBLIGATION (FAA Form 1413-1) (See Chapter 8).

Reservation of Funds or Grant Offer. Before a grant is approved, the regional Accounting Division is contacted (via this form – automated or otherwise) to assure that there are enough funds in the regional allotment. Airports (region or ADO) will reserve funds required for the grant and will not approve the grant until Accounting acknowledges (certifies) the reservation.

Recovery of Obligated AIP, ADAP, or PGP Funds. When a project costs less than the grant, the unused funds are recovered (deobligated). These adjustments are reported to Accounting on an FAA Form 1413-1. Projects with recovered funds which have questioned costs and are expected to be adjusted further should not be deobligated until resolution of questioned costs.

3-6. AIP SPONSOR CONTROL RECORD (FAA FORM 5100-102); TOTAL PROGRAM CONTROL SHEET (FAA FORM 5100-104); AND DISCRETIONARY FUND CONTROL SHEET (FAA FORM 5100-105). These ledger forms are described in detail in Chapter 6. Entitlement and discretionary fund control is maintained on these forms from the allotment stage to final project payment adjustments. The Accounting office is the official agency source for program obligation data but they are not involved in fund control exercised on these forms before a grant is signed.

3-7. PROPOSED AWARD OF GRANT (FAA FORM 5100-12). (Congressional Notification – Chapter 5). This automated form contains information used by FAA and OST to notify Congressional delegations of project details before allocations are announced to sponsors and other parties.

3-8. AIRPORT DEVELOPMENT/PLANNING PROGRAM ACTION (FAA FORM 5100-15) (RIS: AP 5100-26). This manual form is used for ADAP/PGP projects only. There are only a few open projects remaining in these 1970's programs and anyone unfamiliar with the form should contact headquarters for instructions.



CHAPTER 4. AIRPORT IMPROVEMENT PROGRAM DATA (FAA FORM 5100-107) (RIS: 5100-45)

4-1. GENERAL. The FAA Form 5100-107 compiles all AIP project information including detailed item by item funding with fund category accounting codes. It contains data needed during appropriations hearings, for annual reports to Congress, and for other program reports for management and various government and industry offices. It was originally designed as a hard copy form with one side used for request (preapplication) data and the other for approved project phases. Now, it is fully automated and system screens have slightly rearranged data and automatically develop data for some fields for locations previously entered. Also, regions have included additional data screens required for regional program controls. The discussion below is limited to headquarters requirements and follows the original hard copy arrangement.

4-2. REPORTING FREQUENCY. Data are transmitted to APP-520 within 10 days of receipt of a request for aid (preapplication) and for each subsequent project action (phases described below and project revisions).

4-3. LOCATION/AREA DATA. All data in this section apply to the airport or planning area. For noise projects requested by nonairport sponsors, use data identifying the airport generating the noise.

Site Number. For projects at airports, enter the site number as shown on FAA Form 5010-1, Airport Master Record. On system planning actions, the site number shall be preceded by one of the following letters and developed as described:

M - For metropolitan planning projects, plus a four character SMSA number. The SMSA numbers are in Order 1375.2, Standard Data Elements & Codes General Standards, current edition.

R - For regional planning projects, plus a four character alpha numeric code assigned to the Regional Planning Agency. These codes are in regional files.

S - For state planning projects, plus two zeros and the state numerical code. (See Appendix 2 for codes.)

For State Block Grant projects, use SBG before the state numerical code. For State sponsored projects, use three zeros before the state numerical code.

Airport/Location Name. Enter the official name of the airport. On system planning actions, enter the name of the area to be covered. For State Block Grant and State-sponsored projects, use - Various Locations. If the airport name or area covered exceeds 35 characters, use clear abbreviations.

Associated City. Enter the principal city served by the airport as it appears on FAA Form 5010-1. Leave blank for system planning, State Block Grant and State-sponsored projects.

Associated State. Enter the two letter abbreviation for the state. (Abbreviations are in Appendix 2.)

Airport Type. Enter one of the following letter codes.

* **P - Primary Airport.** A commercial service airport enplaning more than 10,000 passengers annually. These will be apportioned funds annually and identified in a press release that is distributed to regions. *

CS - Commercial Service Airport. A commercial service airport enplaning 2,500 to 10,000 passengers annually. A listing of airports and their enplanements will be provided by the National Planning Division (APP-400) at the start of each fiscal year.

R - Reliever Airport. These are general aviation airports that relieve congestion at busy commercial service locations. They are identified in the National Plan of Integrated Airport Systems (NPIAS).

GA - General Aviation Airport. Any eligible airport (airports in NPIAS) not identified in the above three categories.

To further define airport categories, add the following designator to identify:

P - Privately-Owned Airports (i.e., RP for Privately-owned reliever).

H - Heliport (i.e., GAH for General Aviation Heliport)

- V - Vertiport (RV, etc.)
- S - Seaplane Base (GAS, etc.)

For State-sponsored projects involving more than one type of airport and for State Block Grant projects, the airport type letter codes will be entered beside the work codes in the "Work and Funds Approved" section of the Project Data.

Airport Category Change. A few airports change from general aviation to commercial service and vice versa during a year. For funding classifications for these borderline airports, consult with APP-400. Generally, these will be classified in accordance with their predicted year-long category.

Hub Type. Enter one of the following letter codes for commercial service airports and reliever airports (no hub data for general aviation). APP-400 updates enplanement data for commercial service airports annually in a report entitled "U.S. Airport Enplanement Activity Summary for CY XXXX Listed by Rank Order"; for relievers, enter the hub type of the associated commercial service airport (relievers never show an N - no relievers to nonhub airports).

- L - Large. For airports enplaning 1.00 percent or more of total national enplanements.
- M - Medium. For airports enplaning 0.25 to 0.99 percent.
- S - Small. For airports enplaning 0.05 to 0.24 percent.
- N - Nonhub. For airports enplaning less than 0.05 percent.

Leave blank for State-sponsored projects which involve more than one type of airport and for State Block Grant projects.

4-4. APPLICANT DATA. All data in this section apply to the airport or planning area. For noise projects requested by nonairport sponsors, use data pertaining to the airport generating the noise.

Applicant Name: Enter the name of the applicant as shown on the preapplication. Abbreviate, if necessary, to stay within 21 characters.

Applicant Code: Enter a four character sponsor code as shown in Order 1375.3, Standard Data Elements and Codes - Airports Standards.

Applicant Type: Enter a one character letter code. Select the one most appropriate from the following (A through V). If the applicant is a combination of two or more, enter the code of the highest political division or the code you feel best describes the applicant.

- A - Educational Institution
- B - School District
- C - Federal Agency
- D - State Agency
- E - Multiple State Group (or Inter-State)
- F - County Agency
- G - Multiple County Group
- H - Borough
- I - Planning Commission
- J - Council of Government
- K - Port Authority
- L - Airport Authority (Commission, Board)
- M - City (Inclusive of Townships)
- N - Other Nonprofit Agency
- O - Large Business
- P - Small Business
- Q - Indian Tribe
- R - Community Action Agency
- S - Sponsored Organization
- T - Transit Authority

- U - Other Government Organization
- V - Profit Organization

Applicant State: For States and Island areas enter a two character numerical code. (See Appendix 2.)

Applicant County: Enter a three character numerical code from the latest edition of the General Services Administration (GSA) Geographical Location Codes. This document is available from the Government Printing Office, Washington, D. C. 20402, #022-003-01144-7, September 1987, issue, \$19.00 each.

Applicant City: Enter a four character numerical code from the GSA Geographical Location Codes.

Applicant Congressional District: Enter a two character numerical code from the Congressional District Atlas published by the Department of Commerce, Bureau of Census. In areas where there are many Congressional Districts in one county, such as in Los Angeles and New York City, determine the district in which the applicant's office building is located and use that code for the Congressional District.

Applicant Zip Code: Enter a five character numerical code from the U.S. Postal Service Zip Code Manual.

4-5. PREAPPLICATION DATA.

Preapplication Number: Enter a 14 character preapplication number as shown in the examples in Appendix 1 for the project numbering system, except that the project number and obligating year (last four characters) shall be entered as four zeros (0000) since these final four spaces are used for numbering approved projects only.

State Application Identifier Number: Enter the number assigned by the State clearinghouse for proposed projects subject to intergovernmental review. If not subject to intergovernmental review, enter "SAI Not Applicable." If formerly subject to A-95, but no number is available, enter "SAI Not Available."

Phase Number: Enter one of the following numerical characters:

- 1 When the Preapplication has been received.
- 3 When the Preapplication has been denied.
- 9 When the Preapplication has been withdrawn.

Phase Date: Enter the date (eight characters - month/day/year) on which the preapplication was received. Example: 01/20/89.

New/Acquire Existing Airport: Enter "N" for new airport or "A" for acquire existing airport. (Leave blank if not applicable.) The "N" will continue to be used for all projects until the fundamental configuration is completed (usually a runway, taxiway, and apron). The "A" will continue to be used for all projects involving the cost of acquisition.

Multiple Work Locations: Enter an "X" in this field when there are multiple locations involved in the work location of the project; e.g., when the work location encompasses more than one state, county, city, or Congressional district. (Leave blank if not applicable.)

SMSA Code: Enter the four character numeric code if the work location is within one of the SMSA's. If the work location is not in an SMSA, enter zeros (0000). SMSA codes are in Order 1375.2.

4-6. WORK LOCATION CODES.

For construction projects, if the work location is in one state, county, city, and Congressional district, enter the one code applicable to each field.

If the work location is in one state, but is in more than one county, city, or Congressional district, use as many spaces as necessary to reenter the state code and enter corresponding codes for each county, city, or Congressional district.

For System Plans, State Block Grant and State-sponsored projects, use codes applicable to the sponsor.

4-7. WORK/FUNDS REQUESTED. Entries are made in the following fields at Phase 1 (Preapplication), and all subsequent revisions to the Phase. If only part of the request is approved, the remaining unprogrammed work and dollars should be identified in a revised phase 1.

Development Category: Enter one letter (A through G and P for planning) that best describes the majority of the work requested. These codes are defined in the published AIP priority system in Order 5100.38.

- A - Special programs
- B - Reconstruction
- C - Standards
- D - Upgrade
- E - Capacity
- F - New airports - capacity
- G - New airports - community
- P - Planning

Requested Federal Funds: Enter the total Federal funds requested (to nearest dollar).

Description of Work: Enter a narrative description of the work requested using standard terminology. (See Appendix 4.) For noise projects requested by nonairport sponsors, include the name of the sponsoring unit of government in the description. (Only 250 characters are allotted to this field.)

4-8. PROJECT DATA.

Project Grant Number: Enter a 14 character project grant number as shown in the appendix.

Project Purpose: Enter one of the following one character numerical codes to denote the principal purpose of the project. These are used for all Departmental grant programs and codes 4, 5, 7, & 8 are never used for the AIP.

- 1 - Construction
- 2 - Equipment
- 3 - Planning
- 4* - Research and/or development, or demonstration
- 5* - Training
- 6 - Other purposes
- 7* - Operating assistance
- 8* - Safety
- 9 - Land acquisition
- * - Not for AIP.

Environmental Actions: Enter one of following three codes for environmental actions (Leave blank for System Planning actions):

- C - Categorical exclusion
- F - FONSI (Finding of No Significant Impact)
- E - EIS (Environmental Impact Statement)

Project Description (abbreviated). Enter one of the most descriptive of the following:

- 1 - Construct new airport
- 2 - Acquire airport
- 3 - Improve existing airport
- 4 - Master plan study
- 5 - System plan study
- 6 - Noise planning
- 7 - Off airport noise work (Not for noise land)
- 8 - State Block Grant

Letter of Intent Indicator. Enter letter L1 when project is covered under a first Letter of Intent.

Project Description (full). Enter a narrative description of the work approved by the region or submitted for Washington approval using standard terminology from the appendix. The narrative description (with changed items underlined, highlighted, or detailed in the narrative) is entered each time the approved work description is revised.

Federal Funds (other). Enter the total other Federal funds in the project to nearest dollar. A few projects will receive assistance from the Appalachian Regional Commission (ARC), the Economic Development Authority (EDA), or other Federal agency. Leave blank if not applicable.

Non-Federal Funds. Enter the total of all non-Federal funds in the project, such as applicant, state, local funds, etc. to nearest dollar.

Total Project Funds. Enter the sum of Federal AIP, Federal Other, and non-Federal funds in the project.

AIP Percent. Enter the percentage of the Federal AIP funds in the project as follows:

75% for projects (except 80% for noise implementation) at airports enplaning .25 percent or more of annual enplanements. APP-400 will provide this airport list annually.

90% for all other projects, including system planning with following exception:

75% for terminal development at all sizes of commercial service airports.

Upward adjustments to these rates at some airports in Alaska, Arizona, California, Nevada, New Mexico, Oregon, Utah and Washington due to legislative treatment for the high percentage of Federally owned lands in these states. APP-500 will develop the percentages to be used in these states.

Estimated Completion Date. This data field is optional and may be left blank. If used, enter numerical eight character date (month/day/year) estimated for financial completion of the project. The date should be entered not later than at Phase 5 (Grant Agreement).

4-9. PROJECT PHASE.

Phase Number. Enter a one character numerical phase code, except 1 (preapplication) and 3 (denial), which are used only on the preapplication screen, as follows:

2 - Allocation approved. If the request (Phase 1) has been satisfied at Phase 2, enter the words "Preapplication Satisfied" in the justification field described in paragraph 4-8. This notifies APP-520 that no further programming actions are expected for the phase 1 even if the work description at the request phase was different.

4 - Reservation of funds for grant offer

5 - Grant agreement

6* - Project underway

7* - Project physically completed

8 - Project financially completed

9 - Grant withdrawn. Use for projects that have been placed under grant. Phase 2 and/or phase 4 projects that are being terminated without going to grant should be deleted.

* These phases need not be transmitted.

Phase Date. Enter numerical eight character date (month/day/year). Example: 01/20/92.

See paragraph 4-12 for processing a specific funding year from a Letter of Intent to grant.

4-10. WORK AND FUNDS APPROVED Entries shall be made in the following fields beginning with the reservation of funds (phase 4-grant offer). These fields will be updated in all subsequent revisions, additions, or deletions to work items and their associated costs through financial completion (phase 8).

Work Code: Enter a three character alphanumeric code for each line item of approved work. The work codes are listed in Appendix 3.

Runway Number: Enter the runway number for each entry of runway work (any work code containing the letter "D") and for NAVAIDS with work codes H01 - Instrument Approach Aid and H02 - Partial Instrument Approach Aid.

For State Block Grant projects and State-sponsored projects, involving more than one type of airport, use this Runway field to enter the code for the types of airport involved, e. g., CS or GA or R.

Units of Work: Enter a numerical code as follows:

For State Block Grant projects and State-sponsored projects, involving more than one type of airport, use this Runway field to enter the code for the types of airport involved, e. g., CS or GA or R.

Units of Work: Enter a numerical code as follows:

- a. Enter the number "1" or, if the programming action includes more than one item that can be coded with the same work code, and if the priority code is the same for all such items, enter the number of items approved.
- b. For each item of land acquisition, enter the number of acres to the nearest acre, however, if .5 acres or less, round up to 1 acre.
- c. For the relocation assistance work code, enter the number of units displaced (houses, buildings, etc.).
- d. Leave blank for State Block Grant projects and State-sponsored projects involving more than one type of airport.

Work Priority: Enter a three or four character code, as appropriate, consisting of a development category letter and priority number(s) for the programmed item. The priority codes are in Order 5100.38. Add a "C" to the development category letter when the work item is being funded from the Capacity/Safety/Security discretionary fund. Add a "J" to the work priority of any item funded with jobs legislation funds. Leave blank for State Block Grant projects and State Sponsored projects involving more than one type of airport.

Discretionary Funds: Enter the amount of discretionary funds associated with each item of work.

Apportioned Funds: Enter the amount of apportioned (entitlement) funds associated with each item of work.

Total Funds: Enter the total amount of Federal (AIP) funds associated with each item of work.

Total Approved Funds: Enter the total amount of discretionary funds, apportioned funds, and total Federal (AIP) funds in the project.

4-11. FEDERAL FUNDS (TO NEAREST CENT). Entries are made in the following fields at Phase 2 (Allocation), and adjusted entries are made, as necessary, through Phase 8 (Financial Completion).

Appropriation/Limitation. Enter the codes for the types of funds in the project from the following (see notes on multi-year projects, airport category changes, future code changes, and overpayment amounts below listing):

Fund Limitation

Code	Description
84 1 -	Discretionary fund
84 C -	Current year funds apportioned to states
84 P -	Prior year funds apportioned to states
84 Y -	Second prior year funds apportioned to States
84 X* -	All other prior year funds combined - apportioned to states
84 I -	Current year funds apportioned to insular areas
84 N -	Prior year funds apportioned to insular areas
84 S -	Second prior year funds apportioned to insular areas
84 L* -	All other prior year funds combined - apportioned to insular areas.
84 D -	Current year funds apportioned as Alaska Supplemental
84 E -	Prior year funds apportioned as Alaska Supplemental
84 F -	Second prior year funds apportioned as Alaska Supplemental
84 G* -	All other prior year funds combined - apportioned as Alaska Supplemental
84 A -	Current year funds apportioned to sponsors of primary airports
84 U -	Prior year funds apportioned to sponsors of primary airports
84 T -	Second prior year funds apportioned to sponsors of primary airports
84 H* -	All other prior year funds combined - apportioned to sponsors of primary airports
93 1 -	Jobs discretionary
93 C -	Jobs discretionary - state formula apportionment
84 R -	Current year cargo funds apportioned to sponsors

- 84 J - Prior year cargo funds apportioned to sponsors
- 84 K - Second prior year cargo funds apportioned to sponsors
- 84 M* - All other prior year cargo funds combined

* These limitations are not used in obligations of funds.

NOTE: Multi-Year Projects. The limitation for each future year of a multi-year project will be the code that will be used in that obligating year. Example: Any future year primary sponsor apportionment will be 84.A, since that's what it will be when obligated in that year.

NOTE: Airport Category Changes. Where classification has changed from primary to nonprimary, any entitlement funds previously apportioned to an airport will be available to that airport for the entire 3-year life of those entitlements regardless of any subsequent change in airport classification.

Also, if a primary airport is inadvertently or erroneously classified as a nonprimary in the annual announcement of entitlement distributions, a sum equivalent to the earned entitlements may be made available to the airport from discretionary funds if headquarters approves.

NOTE: Code Changes. Above codes will be changed in the near future to show a fiscal year and a letter for each type of fund. Example: S92 is for fiscal year 1992 state apportionment; E91 is for fiscal year 1991 primary sponsor entitlements, etc. These new codes are currently in use in one region and will be published to replace above codes nationwide as soon as accounting and grants management system changes are made.

* **NOTE: Overpayment Amounts.** Funds involved in overpayments (accounts receivable) must be entered on a separate line with the appropriate fund code, sponsor code (if needed), transaction date, and transaction amount. *

Advance Funds Year: Entries are made in this field for the future year(s) of Multi-Year Grants and for advance year projects (including LOI's) only. Enter the last two numbers (92, 93, etc.) of the future fiscal year(s) in which the funds will be obligated.

Sponsor Code: If the project is funded with sponsor entitlements, enter the four character numerical sponsor code as shown in Order 1375.3.

Transaction Date:

a. **Phase 2 Actions.** Enter numerical eight character date (month/day/year) on which the project is approved. Dates should be entered for future year funding commitments as the first day of the fiscal year in which the funds will be available.

b. **For revisions to Funds after Phase 2 and before Phase 4 (Grant Offer),** enter the date the fund adjustment is approved.

c. **Adjustments to Funds - Phase 4 through Phase 8** Enter the date on which the regional Accounting Division certifies data on the FAA Form 1413-1 (screen or form).

Transaction Amount: Increase (+) or (-) Decrease. At Phase 2 (Allocation) enter the funds programmed for the project, including funds to be obligated in future years for multi-year projects. On subsequent actions involving project fund adjustments, enter the fund adjustment as an increase (+) or (-) decrease.

Total Transaction Amount: Enter the sum of transaction amounts.

* **4-12. SPECIAL CONSIDERATIONS: PROCESSING A FUNDING YEAR FROM A LETTER OF INTENT.** *
 Since the original Letter of Intent was previously announced to the Congressional delegation, do not transmit another FAA Form 5100-12, Proposed Award of Grant, or FAA Form 5100-107, phase 2, when obligating funds for a specific funding year. Transmit an FAA Form 5100-107, phase 4, with the next consecutive project number for the current fiscal year and all other data required for a phase 2 and 4 combined. (Your system will create a phase 2 which can be ignored.) At the same time, on the original LOI allocation project, reduce the same current fiscal year by the amount originally programmed and make adjustments in the future funding years if the amount going to grant is less or more than the amount originally programmed for that year (thus keeping the total amount of the LOI as originally announced).

CHAPTER 5. CONGRESSIONAL NOTIFICATION (FAA FORM 5100-12) (RIS: 5100-25)

5-1. GENERAL. Grants Management System screens identified as FAA Form 5100-12 are used to record data needed for Congressional notification of project approvals and amendments. This notification is required for allocations (phase 2) of funds for new projects and for project increases in excess of \$500,000. The DOT, Office of the Assistant Secretary of Governmental Affairs (I-1), has the responsibility for Congressional notification of project data before any public announcement is made, including the notification to the project sponsor. I-1, at times, delegates part of this responsibility (usually for projects of \$500,000 or less) to FAA. APP-520 will notify regions when the Congressional notification is completed either by phone or by computer entry.

5-2. INSTRUCTIONS FOR DEVELOPING FAA FORM 5100-12 DATA. The arrangement of data below is from the hard copy of the form. Regional screens are similarly arranged and part of the data is developed automatically from project information on FAA Form 5100-107 screens.

Date: Use date of project action or current date.

Grant Number: Use all 14 digits of the project number as shown on FAA Form 5100-107 screens.

Administered By: Insert region or ADO administering project.

Name and Address of Grantee: Insert sponsor name and address.

Assistance Type: Insert "New" for a new project and "Continuation" for an increase.

Amount Previously Announced: Insert \$0 for a new project and amount of original announcement for an increase.

Total Federal Project: Insert the amount of Federal funds for a new project and the amount of the increase, only, for an increase to a project.

Discretionary Total: Insert the amount of the total discretionary funds for a new project and the amount of the discretionary increase, only, for an increase. Break out the discretionary total by AIP fund and/or Jobs fund.

Formula Total: Insert the amount of total formula funds for a new project and the amount of the total formula increase, only, for an increase. Break out this total by fiscal year(s).

Summary of Work To Be Performed: Project descriptions should be in narrative form with enough detail to adequately describe the nature of the work. It should be possible to prepare a press release based on data in this section.

Airport Type: Insert the airport type or leave blank when it does not apply (e. g., system planning projects).

Airport Name: Insert airport name.

Associated City: Insert the associated city or leave blank when it does not apply.

Project Officer: Insert name and telephone number of the FAA person who is most familiar with the details of the project. Distinguish between FTS and commercial numbers. Commercial numbers are required since some Congressional offices do not use FTS.

CHAPTER 6. ENTITLEMENT AND DISCRETIONARY FUND CONTROL FORMS

6-1. GENERAL. As entitlements (state, Alaskan supplemental, sponsor and cargo apportionments) and discretionary funds are allotted to regions, and allocations and grants are approved, records of these transactions are necessary to assure that entitlement balances and amounts granted are not in excess of availability. This concept is simple but recordkeeping is somewhat involved because there are several different types of accounts and forms used to control, by varying fiscal years, allotments, state and sponsor entitlements, discretionary funds, and recoveries of such funds. The current process involves use of allotment advices (FAA Form 2510-17), sponsor cards (FAA Form 5100-102), and state apportionment (FAA Form 5100-104) and discretionary (FAA Form 5100-105) ledger sheets. The headquarters Grants Management System has gradually automated this process but it is still being tested. Eventually, as new data management systems are in place in the regions, the necessary nationwide automation will be accomplished. Until that time, regions should use the forms and instructions below or a regionally designed equivalent that will allow reconciliation of various account balances with APP-520, usually on a monthly basis but at greater frequencies near year end. Off-the-shelf spreadsheet programs, such as Lotus 123, Supercalc, Mathplan, etc., may be used but tracking a year's worth of project transactions will take up quite a bit of computer memory. One region merely adds dollars shown on hard copies of FAA Form 5100-107's and compares programming actions to allotment and entitlement records.

The following paragraphs describe use of the various forms in detail. In general, any amount added or subtracted to or from a form or column requires a corresponding subtraction or addition from one or more other forms or columns.

6-2. TOTAL PROGRAM CONTROL SHEET (FAA FORM 5100-104). This ledger form is designed to provide control of each state's total program broken down by sources of funds.

The "Federal Funds Programmed" column will show funds for programmed (approved) projects for which grant offers have not yet been issued.

The "Cumulative Grant Offers Issued" columns shall show funds for those projects for which grant offers have been issued. The sum of the funds shown in columns 7 through 14 on FAA Form 5100-104 will equal the "Cumulative Total program," column 1 of each form.

Columns "E" and "F" on each form are increased (decreased for withdrawals) as each project is added to the program and as each grant offer is issued.

6-3. DISCRETIONARY FUND CONTROL SHEET (FAA FORM 5100-105). This ledger form is designed to provide control of the allotment and programming of all types of discretionary funds. AIP discretionary funds are shown in columns 1 and 2 and recoveries (except jobs funds) from prior year projects are shown in columns 3 and 4. Jobs discretionary recoveries are shown in column 4 and 5. For Alaska only - This sheet is used to record Alaskan supplemental funds.

Discretionary funds not yet advanced to the grant offer stage (the funds programmed and unprogrammed) are shown in the "Allotment Balance" columns. Discretionary funds not programmed are shown in the "Unprogrammed Reserve" columns.

6-4. AIP PRIMARY AIRPORT APPORTIONED FUNDS (FAA FORM 5100-102). This card sized form is designed to provide control of available sponsor and cargo apportionments for each sponsor. Funds not yet advanced to the grant offer stage (those funds programmed and unprogrammed) are shown in the "Allotment Balance" columns. Funds not programmed are shown in the "Unprogrammed Reserve" column.

6-5. START OF YEAR ADJUSTMENTS. At the beginning of each fiscal year, adjustments are necessary in the AIP control records due to yearly limitations for state, Alaskan supplemental, sponsor and cargo apportionment funds. To accomplish this, the following adjustment entries as of October 1 are shown on the ledgers.

Total Program Control Sheet (FAA Form 5100-104). The balance of funds in column 5 of this form is subtracted and added to column 6, and the balance of funds in column 4 is subtracted and added to column 5; the balance of funds in column 3 is subtracted and added to column 4.

AIP Primary Airport Apportioned Funds (FAA Form 5100-102). The balance of funds in column 4 is subtracted and added to column 5 and the amount subtracted from column 4 should also be subtracted from column 1, "Unprogrammed Reserve," the balance of column 3 is subtracted and added to column 4, and the balance of column 2 is subtracted and added to column 3.

6-6. ALLOTMENT OF FUNDS. Upon receiving FAA Form 2510-17 allotments, the regions make the following entries on the ledger and card forms.

Allotment of State Apportionment Funds. These funds are shown on FAA Form 5100-104 in column 3 for each state. Insular funds are treated as state funds.

Allotment of Primary Airport and Cargo Apportionment Funds. These funds are shown separately on FAA Form 5100-102 in column 2 for each sponsor and are added to the balance in column 1, "Unprogrammed Reserve," of the same form and in total by state are added to column 2 on FAA Form 5100-104.

Allotment of Discretionary Funds. Balances in columns 1 and 2 of FAA Form 5100-105 are to be increased by the current year's allotment of AIP discretionary funds. Balances in columns 3 and 4 on the same form are increased for funds recovered from prior years' projects.

6-7. PROGRAMMING TRANSACTIONS AND PRIORITY USE OF FUNDS. All programming transactions are shown on the ledgers in dollars and cents. Normally, oldest year funds will be used before later years and entitlement funds will be used before discretionary funds. This priority order could be changed for specific reasons, such as a sponsor using discretionary in lieu of entitlements as he banks entitlements for future year priority work, but any priority changes should be discussed with APP-520.

Funds programmed for new allocations, increases to allocations, and increases to existing grant agreements are shown as an increase to column 1 on FAA Form 5100-104 for the applicable state.

In columns 7, 8, 9, and 10 of the same form, enter the amount of each source of funds needed to cover the entry made in column 1.

Deduct the same amount for each source of funds from the "Unprogrammed Balances" columns 2 through 5 of the same form and from column 1 on FAA Form 5100-102, if applicable.

If discretionary funds are programmed, deduct amount from column 1 on FAA Form 5100-102 and increase column 11 on FAA Form 5100-104.

Alaskan Supplemental Funds are deducted from applicable column on FAA Form 5100-105 with increases made to columns 8, 9, and/or 10 on FAA Form 5100-104.

6-8. DOWNWARD ADJUSTMENTS TO ALLOCATIONS. For downward revisions to recorded allocations (funds announced but not yet granted to a sponsor) or cancellations of allocations, enter the total amount of the cancellation or decrease in column 1 on FAA Form 5100-104. To the balance of the columns entitled "Federal Funds Programmed" on the same form, enter as a decrease to the applicable source of funds the amount of the cancellation or decrease in allocation. For allocations financed from more than one source of funds (i.e., state apportionment and discretionary, primary apportionment and discretionary), the decreases should be made in reverse order of the priority concept in paragraph 6-7.

6-9. RESERVATION OF FUNDS FOR ISSUANCE OF GRANT OFFERS. The funds reserved for grant offers are shown on FAA Form 5100-104, as a decrease to columns 7, 8, 9, 10, and 11, as applicable, and as an increase to columns 12, 13, and 14, as applicable. On FAA Form 5100-102, as a decrease to columns 2, 3, and 4, as applicable. For discretionary funds, on FAA Form 5100-105, as a decrease to columns 2 and/or 4, as applicable.

6-10. DOWNWARD ADJUSTMENTS TO OBLIGATIONS. Funds released from obligations (grants) as a result of final claims, final payment, cancellations of grant agreements, etc., shall be returned to the account from which they were financed. For projects financed from more than one account (i.e., state apportionment and discretionary), the releases are generally made in reverse order of the priority concept of funds in paragraph 6-7 (contact APP-520 for approval of alternate priority). Released state apportionment funds and primary apportionment funds that have not lapsed into "Inactive" status should be reprogrammed in place of current year discretionary funds within regional recovery ceiling limits. Released funds are shown on the ledgers as follows:

Primary and Cargo Apportionment Funds. On FAA Form 5100-104, decrease column 1 and column 12. On FAA Form 5100-102, increase column 1 and columns 2, 3, and 4, as applicable. Inactive sponsor and cargo apportionment funds released are shown as an increase to column 5 only.

State/Insular/Alaskan Supplemental Funds. On FAA Form 5100-104, decrease column 1 and decrease column 13; increase columns 3, 4, and 5, as applicable. Inactive State, Insular, and Alaskan funds released are shown as an increase to column 6 only.

Jobs Funds. On FAA Form 5100-104, decrease column 1 and 13 and/or 14, as applicable. On FAA Form 5100-105, increase columns 5 and 6 for jobs discretionary recoveries and increase column 3 on FAA Form 5100-104 for jobs state recoveries keeping them separate from AIP state funds.

Discretionary Funds. On FAA Form 5100-104, decrease columns 1 and 14. On FAA Form 5100-105, increase columns 1 and 2 if current year funds are recovered; increase columns 3 and 4 for recoveries from prior year obligations.

6-11. CONVERSION OF INACTIVE AIP APPORTIONMENT FUNDS TO DISCRETIONARY FUNDS. APP-520 will request the Office of Budget to convert all inactive apportionment (entitlement) funds to the discretionary account. The converted funds are retained in the region or can be transferred to the Washington office discretionary account. Upon receipt of an FAA Form 2510-17 allotment that converts the funds to discretionary, the following entries are shown on the ledgers:

Primary/Cargo Apportionment Funds. On FAA Form 5100-102, decrease column 5 by the amount converted to the discretionary fund; on FAA Form 5100-104 decrease column 2 also.

State/Insular/Alaskan Apportionment Funds. On FAA Form 5100-104, decrease column 6 by the amount converted to the discretionary fund.

If the converted funds are retained in the region, increase columns 3 and 4 on FAA Form 5100-105 for the applicable program.

6-12. MONTHLY RECONCILIATION OF BALANCES ON LEDGER SHEETS TO FAA FORM 2510-17 ALLOTMENTS. A one-line entry, as of month end, is to be shown on FAA Form 5100-104 for each state and will consist of totals for the cumulative program and grant offers issued and balances of programmed and unprogrammed funds. A regional summary of the month end entries for each state is compiled and will be reconciled with the current FAA Form 2510-17 allotment as follows:

Primary/Cargo Apportionment Funds. On FAA Form 5100-104, the "Unprogrammed Balances", column 2, the Federal Funds Programmed, column 7, and "Cumulative Grant Offers Issued," column 12, should equal the total of limitations A, U, T, and H for Primary Apportionment, and R, J, K, M for Cargo Apportionment, on FAA Form 2510-17. On FAA Form 5100-102, "Unprogrammed Reserve", column 1, for all sponsors within a state, should be equal to the total of column 2 on FAA Form 5100-104.

State/Insular/Alaskan Apportionment Funds. On FAA Form 5100-104, the "Unprogrammed Balance," columns 3, 4, 5, and 6, the "Federal Funds Programmed Balances," columns 8, 9, 10, and "Cumulative Grant Offers Issued," column 13 should equal the total of limitations C, P, Y, and X for state, and I, N, S and L for Insular. For Alaskan funds, include the balance on FAA Form 5100-105 to equal the total of limitations D, E, F and G, Code 84 on the FAA Form 2510-17 allotment.



CHAPTER 7. RECOVERIES

7-1. GENERAL. Funds are "recovered" when deobligated (removed) from a project that was completed at a lower cost than originally obligated (granted) for the project. Recoveries are made throughout the year to both the current program account (AIP) and to a very limited extent, to surviving previous program accounts (ADAP/PGP). Legislation and OMB require restrictions on the reuse of these funds in the form of ceilings and limitations. A detailed discussion follows.

7-2. REOBLIGATION OF RECOVERED GRANT FUNDS. The following are guidelines regarding reobligation of recovered AIP grant funds. Where applicable, ADAP/PGP guidelines are also included.

a. Annual Statutory Limitation. There is an annual statutory limitation on the aggregate of all airport grant obligations which may be executed during each fiscal year. The limitation applies to all grant obligations which may be issued under all statutory authorities permitting Federal aid to airports. The limitation usually appears in the current appropriations act.

b. Application to Net Obligations. The limitation discussed above is considered to apply to net obligations. Therefore current year recoveries of prior year ADAP/PGP funds and current year recoveries of current year or prior year AIP funds are counted as negative obligations against that current limitation.

c. OMB Annual Ceilings and APP-520 Regional Ceilings. OMB will establish an annual ceiling on the aggregate, net amount of ADAP/PGP and AIP recoveries of prior year funds that may be reobligated during a fiscal year. APP-520 will, in turn, establish regional ceilings on the use of these recovered funds. This ceiling will be stated on an allotment advice to each region as a single dollar amount that applies to the total for ADAP/PGP plus AIP. An increase in the ceiling established for one region would normally be balanced by a reduction in the ceiling established for one or more other regions where the donor regions do not require the recovered funds.

d. The Relationship to National Ceilings. The overall annual statutory limitation and the ceiling imposed by OMB on the aggregate of net ADAP/PGP and AIP obligations apply to total (national) program levels.

e. Remaining Within the Annual Statutory Limitation. To assure remaining within the annual statutory limitation (paragraph 7-2a), the aggregate amount of reobligations of recoveries of prior year funds in the AIP and ADAP/PGP accounts, which are intended to be made in the current fiscal year, will be administratively restricted on the national level to the aggregate amount of current year recoveries made in the current fiscal year, nationwide, in both those accounts. An exception may be made to allow for recovered entitlements to be reobligated to the original sponsor during the three year restriction of such funds (see paragraph 7-2g(5)).

f. Controls On the Use of Recovered Funds. The Office of Accounting and APP-520 will jointly establish controls on the use of recovered ADAP/PGP funds. APP-520 will establish controls on the use of recovered AIP funds. Regions may request adjustments to funding levels established by these controls.

(1) ADAP/PGP. The reobligation of ADAP/PGP recovered funds will be subject to the ceilings established in allotment advice (FAA Form 2510.17). The allotment advice is issued by the Office of Budget at the request of APP-520. Any adjustments to the ceilings (for example, between regions) should be requested from the APP-520. Subject to ceilings, the availability of ADAP/PGP recoveries for reobligation will be monitored and determined for the regions by the Office of Accounting. Adjustments involving the shifting of such funds between regions (within approved ceilings) should be requested from regional Accounting Offices. All unobligated funds which have been recovered on and after September 3, 1982, will be available to ADAP/PGP accounts. Controls will be arranged so that a region's reobligations in this account may, with the regional Accounting Division's concurrence, be permitted to exceed the current year's recoveries in the account in that region. The excess, however, is subtracted (through the headquarters Office of Accounting) from the amount or amounts available in this account to another region or regions.

(2) AIP. The reobligation of recoveries of prior year AIP funds by regions will be controlled by ceilings established in APP-520. Adjustments to the ceilings, as between regions, is the responsibility of APP-520.

g. Principles for the Reuse of Prior Year ADAP/PGP and AIP Funds. The controls established by the Office of Accounting on the availability of ADAP/PGP prior year fund recoveries and by APP-520 on the reuse of ADAP/PGP and AIP prior year fund recoveries will follow the principles stated below.

(1) Prior year funds recovered in the ADAP grant program and in the PGP program may be reobligated for grant adjustments in either the ADAP or PGP program (under paragraph 512(c) of the AAIA) but may not be used in the AIP program.

(2) Reobligation of recoveries of current or prior year AIP funds is restricted to reuse for AIP grants only. These recoveries may be used for adjustments to current or past year grants and for new grants within the following guidelines: legislation requires that only recoveries (current or past year recoveries) may be used for upward adjustments to grants executed in FY 1987 or earlier. Current new year funds and unobligated carryover entitlement funds may not be used for such amendments. Because of this requirement to fund amendments to 1987 or earlier grants from recoveries only, recovered funds (subject to ceiling restrictions) cannot be used for new grants until the needs of amendments to 1987 or earlier grants have been satisfied. It is impossible to know the extent of such demand for amendments until late in the fiscal year (probably September). Therefore, regions are cautioned not to use AIP recoveries, except to satisfy amendments to 1987 or earlier AIP grants, unless clearance is first received from APP-520.

Recovered sponsor and state entitlement funds that are still within their active 3-year life cannot be withheld from sponsors or states and are, therefore, not subject to these restrictions, but continue to be subject to the ceiling on recoveries. Also, amendments made to Multi-Year Grants for the purpose of including latest year entitlements are not subject to the above restrictions since they involve new money, not recoveries.

(3) As stated in paragraph 7-2a, the statutory annual limitation applies "across-the-board" to the aggregate of ADAP/PGP and AIP obligations, including reobligations. If the national aggregate of the current year's reobligations of ADAP/PGP funds is at any time less than the national aggregate of the current year ADAP/PGP recoveries, then the shortfall may permit, within the statutory annual, overall limitation on obligations, increased obligation of recovered AIP funds by a corresponding amount. That amount may result in AIP reobligations exceeding current year AIP recoveries. AIP recoveries made in past years will be reobligated in this situation. The annual statutory obligation limitation as discussed in paragraph 7-2a, as well as the recovery ceiling established by OMB discussed in paragraph 7-2c, will be satisfied in any event.

(4) Similarly, if at any time the national aggregate of reobligations of AIP funds is less than the national aggregate of current year AIP recoveries, then the shortfall may permit increased reobligation of recovered ADAP/PGP funds by a corresponding amount. Prior year ADAP/PGP recoveries will be reobligated in this situation. The annual obligation limitation and the recovery ceiling will be satisfied in any event.

(5) If a sponsor who has yielded AIP entitlement funds which had been apportioned to him subsequently claims such funds, and the 3-year entitlement period for such funds has not expired, then the funds should be reobligated to that sponsor in the fiscal year in which they are claimed. If the region making such reobligation would thereby exceed its current reobligation ceiling, the region shall, before executing the reobligation, obtain an increase in the ceiling from APP-520. APP-520, in this situation, if necessary for compliance with the annual limitation discussed in paragraph 7-2a will correspondingly reduce the level of current year discretionary AIP funds available to one or more regions.

h. Current year recoveries of current year AIP funds are not subject to the OMB ceiling on recoveries but are subject to the annual obligation limitation discussed in paragraph 7-2a. These recoveries may be used in the same way as current year AIP funds, i.e., for adjustments to current year or past year AIP grants or for new current year grants.

i. A notification of an overpayment of funds to the sponsor (accounts receivable in the Accounting Office) is not the time to consider the amount cited as a recovery. When the overpaid amount is reimbursed to the Accounting Office, it becomes a recovery. *

CHAPTER 8. BUDGET AND ACCOUNTING (FAA FORMS 2510-17 & 1413-1)

8-1. GENERAL. Regional Airports Divisions are provided funds for AIP projects through an allotment advice on FAA Form 2510-17, which is processed through headquarters and regional Budget Offices. When Airports decides to fund a project, the regional Accounting Office is notified of its cost via an FAA Form 1413-1 to reserve the funds before a grant is signed. Accounts will not process any fund reservations that exceed the amounts specified in regional budget allotments. Both forms are described below, with considerable detail provided for the FAA Form 1413-1, since Airports develops the information on the form via the Grants Management System.

8-2. BUDGETARY AUTHORIZATION, FAA FORM 2510-17. APP-520 develops funding levels for regions based on regional requirements and formally requests the headquarters Budget Office to issue allotments to regions. Regional Budget Offices then provide data to regional Accounting Offices. This is all done electronically in FAA Form 2510-17 formats. Regional Accounting or Budget Offices then provide regional Airports Divisions with automated or hard copies of data. Following is a brief description of the FAA Form 2510-17:

Part 1. Budgetary Authorization. This shows funds allotted to regions by types of funds (entitlements/discretionary), a cumulative total of all funds allotted, prior years' obligations, a budgetary reserve against current and prior year allotted funds, and the total availability of funds for the current fiscal year.

Part 2. Quarterly Apportionment. This section contains the quarterly limits (if any) on the amounts available in part 1. This part also includes a headquarters imposed ceiling on the use of recoveries.

8-3. REQUEST FOR CHANGE IN RESERVATION/OBLIGATION, FAA FORM 1413-1 (RIS: AP-5100-15). This form is generated on Grants Management System screens and is used by Regional Airports Divisions to request that regional Accounting Divisions reserve funds prior to the issuance of a grant offer. It is also used to advise Accounting of subsequent increases or decreases to project amounts. After Accounting certifies these actions, copies of the certified form are transmitted to headquarters. The form fields are shown below followed by a discussion of the information requirement.

Requesting Office. The regional Airports Division or the Airports District/Field Office.

Request Number. The region's (or ADO's in some regions) three letter initials, the last two digits of the current fiscal year, and sequential numbering of these requests in each fiscal year.

Appropriation Symbol. Symbol 69X8106.84 shown in Chapter 5, paragraph 500C of Order 1375.6, Standard Data Elements and Codes - Accounting.

Title. Airport Improvement Program.

Appropriation and Limitation Codes. These codes are shown in Chapter 4 of this Order and are also listed in Order 1375.6. Include the sponsor code number for projects using sponsor enplanement funds. (Sponsor codes are in Order 1375.3.)

State Code. A two digit number. (See Appendix 2.)

Location Code. Last four digits of the six-digit NPIAS code (state-location) applicable to airport, sponsor or system plan.

Project Code. A two-digit consecutive numbering of projects at a specific airport preceded by the number 3, the AIP identifier. (See project numbering system in Appendix 1.)

Previous Amount. Leave blank the first time a reservation of funds is requested for a new project. On subsequent changes, show the amount of the funds obligated or reserved for that project before the requested adjustment.

Amount Requested. Show the amount of funds to be reserved for a new project or the increase or decrease to a prior reservation/obligation.

Revised Amount. Show total amount(s) of funds to be reserved for a new project or the total amount(s) after adjustments.

Project Identification Symbol. The 14-digit Application/Grant Number. (See Appendix 1.)

Location. Identify the airport, associated city, state, site number, and service type of airport. For AIP projects using sponsor enplanement funds, also show the sponsor code number (see Order 1375.3).

Total Amount Requested. Show the amount of the funds to be reserved for a new project or the increase or decrease to a prior reservation/obligation.

Allotment Balance. The allotment balance(s) by fund code(s) affected by the transaction. (See Appropriation and Limitation Codes field above.)

Brief Description of Work. The description of work as it will appear in the grant agreement.

Justification and Remarks. Brief justification for reservation of funds or adjustment. For multi-year projects under the AIP, each time a project grant agreement is amended to include a subsequent year's funds, the following statement must be shown: "Amendment being issued to increase project funding in a Multi-Year Grant agreement."

Requested By/Recommended By. Name and title of regional, ADO or field office Airports personnel authorized to request/recommend these actions. Include date recommended.

Accounting Division Certification. Appropriate regional Accounting Division authorization including date, name and title.

Transmitted. When a form is transmitted, the system signature will show the name of the person transmitting the form and the date.

CHAPTER 9. REGIONAL (YEAR-END) REPORTING PROCEDURES

9-1. YEAR-END REPORTING. The regional Airports Division submits to APP-520 an annual "Report of Obligations Under the Airport Grant-in-Aid Program" (RIS: AP 5100-14). This is done at the close of each fiscal year and not later than the 10th working day following the year being reported. The report may be generated electronically and includes the following:

- a. A listing of grant agreements or amendments to grant agreements accepted prior to the close of the fiscal year for which the notification of acceptance has not been furnished to APP-520.
- b. A listing of all grant offers not accepted as of the close of the fiscal year.
- c. A listing of all amendments to grant agreements for which funds have been reserved that have not been accepted as of the close of the fiscal year.
- d. A listing of allocations to be cancelled and the reason for cancellation.
- e. A listing of outstanding Multi-Year and Letter of Intent allocations to be obligated in future fiscal years. The fiscal year(s) in which the obligation will occur will also be shown.

APPENDIX 1—PROJECT NUMBERING SYSTEM

1. **GENERAL.** Each project is assigned a separate number starting at the preapplication (request) phase. The last four digits of this number are zeros at the request stage but will change as the request, or part of it, is approved. This identification number is used on several forms and screens during AIP project management to satisfy requirements of the Office of the Secretary of Transportation as well as the FAA.

The 14 digits for a fully approved project are developed as follows:

89	2	3	21	0120	08	92	—	Full Number
89	—	Year (1989) of preapplication						
2	—	Number of preapplication (second received in 1989)						
3	—	Current program (AIP) code						
21	—	State code						
0120	—	Airport or sponsor code						
08	—	Project number (eighth project approved under AIP)						
92	—	Fiscal year (1992) in which project was granted (obligated)						

Year of Preapplication. The fiscal year in which the preapplication is received by FAA.

Number of Preapplication. Consecutive numbering of preapplication(s) received in any one fiscal year for the same airport or planning sponsor.

Program Code. Use a 3 for AIP. Other numbers in old project files relate to programs that existed before the AIP was authorized beginning in FY 1982.

State Code. A two-digit state or outlying area code (from Appendix 2) and a two zero (00) code for Metropolitan System Plans and Regional System Plans if the study area involves more than one state.

Airport or Sponsor Code. A four-digit NPIAS number (from NPIAS) for airport projects and an alpha-numeric code for planning agencies (from regional files) and four zeros for State System Plans. The numeric state code plus two zeros for state sponsored projects encompassing work performed at several airports within a state. Use code: SBGP for states participating in the State Block Grant Program. *

Project Number. Two-digit consecutive numbering (regardless of year) of project grants at a specific airport during the entire life of a specific program authorization. Renumber deferred allocations if necessary to keep grants numbered consecutively. Alpha-numeric designators apply to special noise and planning projects and Letter of Intent projects as follows:

N1 thru N9 (then NA thru NZ, if necessary) for noise projects (usually soundproofing) granted to units of local government (other than airport sponsors).

S1 thru S9 (then SA thru SZ, if necessary) for State System Planning grants. Or, an M or R for metropolitan and regional plans, respectively, followed by 1 thru 9, then A thru Z, as necessary.

L1 for a project covered under a first Letter of Intent at a specific airport, L2 for project covered under a second Letter of Intent at that same airport. When taking a specific funding year from an LOI to grant, use the next two-digit consecutive project number at that specific airport.

Obligating Year. Last two digits of the fiscal year in which the project is granted (obligated). For LOI, use the last two digits of the last fiscal year covered by the letter.



APPENDIX 2—STATE AND OUTLYING AREA CODES

(County and city codes for the states and outlying areas are available in the GSA publication: Worldwide Geographic Location Codes. Occasional changes will be communicated by headquarters.)

I. STATES:

Alabama	AL	01	Montana	MT	30
Alaska	AK	02	Nebraska	NE	31
Arizona	AZ	04	Nevada	NV	32
Arkansas	AR	05	New Hampshire	NH	33
California	CA	06	New Jersey	NJ	34
Colorado	CO	08	New Mexico	NM	35
Connecticut	CT	09	New York	NY	36
Delaware	DE	10	North Carolina	NC	37
Dist. of Col.	DC	11	North Dakota	ND	38
Florida	FL	12	Ohio	OH	39
Georgia	GA	13	Oklahoma	OK	40
Hawaii	HI	15	Oregon	OR	41
Idaho	ID	16	Pennsylvania	PA	42
Illinois	IL	17	Rhode Island	RI	44
Indiana	IN	18	South Carolina	SC	45
Iowa	IA	19	South Dakota	SD	46
Kansas	KS	20	Tennessee	TN	47
Kentucky	KY	21	Texas	TX	48
Louisiana	LA	22	Utah	UT	49
Maine	ME	23	Vermont	VT	50
Maryland	MD	24	Virginia	VA	51
Massachusetts	MA	25	Washington	WA	53
Michigan	MI	26	West Virginia	WV	54
Minnesota	MN	27	Wisconsin	WI	55
Mississippi	MS	28	Wyoming	WY	56
Missouri	MO	29			

II. OUTLYING AREAS:

American Samoa	AS	60
Guam	GU	66
Northern Mariana Is.	CQ	69
Puerto Rico	PR	72
Trust Territories Pac.	TT	75
Virgin Islands	VI	78



APPENDIX 3—WORK CODES

WORK CODE	DESCRIPTION
PLANNING	
A01 —	Master planning (partial/update)
A02 —	State system planning
A03 —	Metropolitan system planning
A04 —	Regional system planning
A05 —	Noise compatibility planning
A06 —	Vertiport/tiltrotor planning
A09 —	Miscellaneous planning
SAFETY	
B01 —	Aircraft rescue and fire fighting vehicle
B02 —	Safety related buildings (ARFF, ARFF/maintenance equipment, etc.)
B03 —	Obstruction removal, marking and/or lighting
B09 —	Miscellaneous safety improvements
SECURITY (PART 107 REQUIREMENTS ONLY)	
C01 —	Security improvements
RUNWAYS	
D01 —	Runway construction
D02 —	Runway improvements (excluding friction treatment)
D03 —	Runway extension
D04 —	Runway grooving
D05 —	Runway friction treatment
D06 —	Runway seal coat
D07 —	Landing area for helicopters (at other than heliports. For heliports use regular codes, D01, etc.)
D08 —	Runway development for noise compatibility
D09 —	Miscellaneous runway improvements
D10 —	Runway safety area
D11 —	Construction of V/TOL runway (at other than Vertiports. For Vertiports use regular codes, D01, etc.)
TAXIWAYS	
E01 —	Taxiway construction
E02 —	Taxiway improvements
E03 —	Taxiway extension
E06 —	Taxiway seal coat
E08 —	Taxiway development for noise compatibility
E09 —	Other
APRONS	
F01 —	Apron construction
F02 —	Apron improvements
F03 —	Apron expansion
F06 —	Apron seal coat
F09 —	Miscellaneous apron improvements

LIGHTING

- G01 — High intensity runway lighting
- G02 — Medium intensity runway lighting
- G03 — Runway centerline lighting
- G04 — Rehabilitate runway lighting
- G05 — Rehabilitate taxiway lighting
- G08 — Lighting for noise compatibility
- G09 — Miscellaneous lighting improvements

NAVAIDS

- H01 — Instrument approach aid
- H02 — Partial instrument approach aid
- H03 — Visual approach aid
- H08 — NAVAIDS for noise compatibility
- H09 — Miscellaneous NAVAIDS improvements

WEATHER EQUIPMENT

- I01 — Snow removal equipment
- I02 — Runway sensors
- I03 — Weather reporting equipment
- I04 — Taxiway sensors
- I09 — Miscellaneous weather equipment improvements

TERMINAL DEVELOPMENT

- J01 — Terminal building construction
- J02 — Terminal building improvements
- J03 — Terminal building expansion
- J04 — Terminal building bond retirement
- J09 — Miscellaneous terminal building improvements

BUILDINGS (OTHER THAN SAFETY, SECURITY, OR TERMINAL DEVELOPMENT)

- K01 — Building construction
- K02 — Building improvements
- K09 — Miscellaneous building improvements

ROADWAYS

- L01 — Access road construction
- L02 — Access road improvements
- L03 — Service road construction
- L04 — Service road improvements
- L09 — Miscellaneous roadway improvement

ADDITIONAL NOISE COMPATIBILITY

- M01 — Noise barrier
- M02 — Landscaping to reduce noise
- M03 — Noise suppressing equipment
- M04 — Soundproofing
- M09 — Miscellaneous noise control measures

10/27/89

LAND

- N01 — Land for development
- N02 — Land for approaches
- N03 — Land for noise compatibility
- N04 — Relocation assistance
- N05 — Relocation assistance for noise compatibility
- N06 — Acquire airport
- N09 — Miscellaneous airport land

MISCELLANEOUS

- P01 — Miscellaneous airport improvements

STATE BLOCK GRANT

- R01 — Commercial Service; Reliever; General Aviation assistance
- R02 — Noise compatibility assistance

APPENDIX 4—STANDARD TERMINOLOGY FOR WORK ITEMS

1. PLANNING.

Conduct master plan study/update

Conduct master plan study/system plan (vertiport)

Conduct state system plan study/update/(continuous)

Conduct metropolitan system plan study/update/(continuous)

Conduct regional system plan study/update/(continuous)

Conduct noise compatibility plan study/update (Part 150)

Miscellaneous (Describe. Items normally associated with updates for project approval purposes, e.g., Master plan update/environmental assessment)

2. SAFETY

Acquire aircraft rescue and fire fighting vehicle/equipment (Describe equipment, e.g., proximity suits)

Construct/modify aircraft rescue and fire fighting building

Remove/light obstruction(s)

Acquire safety equipment (Describe)

Miscellaneous (Describe)

3. SECURITY – (PART 107 REQUIREMENTS ONLY)

Acquire security equipment (Describe)

Install security fencing

Install security system

4. RUNWAY

Construct runway (for phased construction identify phase in parentheses, e.g., site preparaton/paving)

Reconstruct/rehabilitate/overlay/strengthen runway

Extend runway

Groove runway

Apply porous friction course

Seal coat runway

Construct/rehabilitate/improve helipad/vertiport

Construct runway for noise compatibility

Construct/extend/improve runway safety area

Miscellaneous (Describe, e.g., Stabilize runway shoulders)

5. TAXIWAYS

Construct taxiway

Reconstruct/rehabilitate/overlay/strengthen taxiway

Extend taxiway

Seal coat taxiway

Construct taxiway for noise compatibility

Miscellaneous (Describe, e.g., Widen taxiway)

6. APRONS

Construct apron
Reconstruct/rehabilitate/overlay/strengthen apron
Expand apron
Seal Coat apron
Miscellaneous (Describe, e.g., Reprofile apron)

7. LIGHTING

Install runway lighting
Install taxiway lighting
Install runway centerline lighting
Rehabilitate runway lighting
Rehabilitate taxiway lighting
Install lighting for noise compatibility
Install emergency power generator
Miscellaneous (Describe, e.g., Install approach lighting system)

8. NAVAIDS

Install instrument approach aid
Install partial instrument approach aid (Describe, e.g., Install localizer)
Install visual approach aid
Rehabilitate visual approach aid
Install instrument approach aid for noise compatibility
Install miscellaneous NAVAIDS/approach aids (Describe)

9. WEATHER

Acquire snow removal vehicle/equipment
Install runway/taxiway sensors
Install weather reporting equipment
Miscellaneous (Describe)

10. TERMINAL DEVELOPMENT

Construct terminal building
Improve/modify terminal building
Reconstruct/rehabilitate/expand terminal building
Miscellaneous (Describe)

11. BUILDINGS

Construct/improve/modify building (Specify, e.g., Improve snow removal equipment building)
Reconstruct/rehabilitate/expand building (Specify as in above entry)
Miscellaneous (Describe, e.g., Construct lighting vault)

12. ROADWAYS

Construct access road
Improve access road
Construct service road
Improve service road
Miscellaneous (Describe, e.g., Install signs, relocate public road)

13. NOISE COMPATIBILITY (Other than Land)

Install noise barrier
Landscape for noise compatibility
Acquire/install noise suppressing equipment
Soundproof residences (Include name of community and number of residences included in project)

Soundproof school(s) (Include community and name of school(s) unless many schools make description too long)

Miscellaneous (Describe)

14. LAND

Acquire land for development

Acquire land for approaches

Acquire land for noise compatibility

Provide relocation assistance (other than noise land)

Provide relocation assistance (noise land)

Acquire existing airport

Acquire miscellaneous land (Describe, e.g., Acquire land for outer marker)

15. MISCELLANEOUS

Miscellaneous airport improvements (Describe, e. g., Relocate fuel system; Improve drainage; Install fencing (other than Security))

16. STATE BLOCK GRANT

Provide assistance to Commercial Service, Reliever, General Aviation Airports

Provide assistance for noise compatibility

NOTE: For design only projects, use the construction description followed by (design only), e.g., extend runway and taxiway (design only).

For projects including multiple work items for the same runway, combine the work descriptors, e.g., reconstruct, extend and light runway.

For projects including similiar work for various pavement surfaces, list the descriptor and each pavement surface affected, e.g., construct runway, taxiway, apron and access way.



