

# **Programming Control and Reporting Procedures Grant-In-Aid Program**



**December 7, 1999**

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**5100.20C**

**FEDERAL AVIATION ADMINISTRATION**

## RECORD OF CHANGES

DIRECTIVE NO.

REC NO

[illegible]

## FOREWORD

1. **PURPOSE.** This Order provides information related to fund control and project processing under the Airport Improvement Program System. This information supplements the detailed instructions in manuals provided with software developed for the automated system.
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 5100.20B, Program Control and Reporting Procedures Airport Grant-in-Aid Programs, dated October 27, 1989, is cancelled.
4. **FORMS AND REPORTS.** Virtually all forms and reports are generated by the Airport Improvement Program System. Eventually all forms will be automated but "hard" copies of forms will continue to be available as long as needed.

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# **Chapter 1 PROGRAM FUNDING – 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, and applicable Program Guidance Letters (PGL), contain detailed information on grant processing requirements and legislative fund distributions.

Program Guidance Letters (PGL) are issued from time to time to provide information and interim guidance. All guidance issued in PGL's, which is appropriate for inclusion in the handbook, will be included in subsequent handbook amendments. PGL's will continue to be issued for items that are not appropriate handbook material; for example short-term policy guidance or detailed information on particular subjects, and to provide interim guidance between handbook amendments.

## **1-2 Authorization.**

Funds are authorized by Congress in legislation. The present authorization is established by Title 49, United States Code, as amended. Title 49 authorizes specific amounts to be available for grants to airport sponsors (owners), planning agencies, and other public agencies.

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.

There are also some projects that were funded with “jobs” money that was authorized by the Surface Transportation Assistance Act of 1983. This Act authorized 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 1999 began on October 1, 1998 and ended on September 30, 1999.

#### **1-4 Appropriations.**

The annual authorizations appear in grants legislation Title 49 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 F&E appropriation) 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. Title 49 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 OMB apportionment may contain restrictions on the use of funds, such as the amount that may be used quarterly.

#### **1-6 Discretionary Funds.**

Whereas the apportionment required by Title 49 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. Also, a number of statutory set-asides are established by legislation to achieve specified funding minimums. These minimum categories include noise, military, capacity, safety and security, etc.

### **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. (Primary nonhub passenger and primary nonhub cargo airports beginning in fiscal year 1997 have 4 years to make a decision regarding the use of their funds). 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 entitlement carryover could reduce the current 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 for that year, discretionary funds could be increased to bring the total program up to the obligation limitation.

### **1-8 Planning Figures.**

The Programming Branch (APP-520) will provide each regional office with AIP planning levels in March of each year. The amounts will represent not-to-exceed figures and should be used to develop a realistic 3-year regional Airport Capital Improvement Plan (ACIP). The figures will be based on each region’s activity levels and should be used for discretionary assignments only. The planning levels do not constitute a transfer of funds and are only issued to help the regional offices formulate their ACIP.

### **1-9 Airport Capital Improvement Plan (ACIP).**

The ACIP is a product of various airport, State, district, and regional Capital Improvement Plans. It is formulated to identify, plan, fund, and execute airport development financing decisions to ensure that the most critical airport development needs are met nationwide. It serves as the national funding plan for the AIP.

The ACIP is formulated based on the airport development needs identified by the National Plan of Integrated Airport Systems (NPIAS) and is best understood as a subset of the NPIAS, highlighting airport needs over a 3-year

planning cycle. The NPIAS, as required by Section 47103 of Title 49 of United States Code (USC), is the FAA's document that provides short (1-5 years) and long (6-10 years) range cost estimates of AIP eligible projects associated with establishing a system of airports adequate to meet the needs of the National Airspace System (NAS). The NPIAS provides an inventory of warranted airport development for ACIP purposes. A standard database has been established to implement these concepts. This database (NPIAS-ACIP) provides a common data structure to compile and analyze airport development needs.

#### **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), APP-520 enters the data into the AIP system to notify regional contacts of release. The regions then 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, Title 49 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 the current and/or future year(s) if appropriations limitations allow. Another form of advanced approval is via a Multi-Year Grant. One difference between an LOI and a Multi-Year Grant is that the LOI will include discretionary and potential entitlement funds for current/future years while a multi-year grant uses current/future year entitlement funds only and can only be accomplished during multi-year legislation.

#### **1-13 State Block Grant Program.**

Title 49 authorizes "block" grants to nine 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 this program the states will administer sub grants to individual nonprimary airport sponsors. (See Order 5100.38 and applicable PGLs).

#### **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. Talking points are used as the medium for informing Senate and House members about the project. An allocation, therefore, is not made until this “Congressional release” process is completed by OST/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 amount 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 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 through the Automated Clearing House (ACH) system. 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 budget terms 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 reobligated for upward adjustments to existing projects and under certain circumstances may be reobligated for new 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 to be accomplished by the regions, which are responsible for its accuracy. The data for project actions will be maintained in the Airport Improvement Program System, (hereinafter referred to as AIP system) as described below and in the following chapters. Particular attention should be devoted to project descriptions, project work codes, project eligibility, funding type codes, talking points, and project increases.

### **2-2 Phase P.**

Initial project data should be entered into the AIP system, along with Talking Points. These Talking Points are required by the Office of the Secretary for each project submitted for Congressional clearance. After this clearance is completed, Airports Division Managers are delegated the authority to approve allocations for all AIP projects. The Phase P date is the date the Airports Division Manager approves the allocation. This date becomes a permanent part of the project.

### **2-3 Phase 2 – Allocation of Project Approval.**

After Congressional offices are notified of project details, the sponsor is notified of the allocation of funds. The status of the project is changed from a Phase P to a Phase 2 in the AIP system by headquarters. The Phase 2 date is the date APP-520 is advised of the clearance. This date becomes a permanent part of the project.

### **2-4 Intentionally Left Blank.**

### **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 of the amount of funds requested for a grantee by a 1413-1 Form that is generated electronically in the AIP system. Accounting verifies that the funds are available in the DAFIS system in the appropriation limitations indicated on the 1413-1 and reserves those funds for a grant offer. The Phase 4 date is the date the Airports office approves the action. Work code information must be entered in the AIP system by Phase 4.

### **2-6 Phase 5 – Execution of Grant Agreement or Obligation of Funds.**

This records the execution date of the grant agreements by the FAA and the

grantee(s). Until this point no legal commitment of funds has been made. The signed grant agreement becomes the legal contract between the FAA and the grantee(s) and obligates the Federal government to pay for the work described in the grant at the amount specified. This signed grant must be submitted to the regional Accounting office before the grantee(s) can be paid. Amendments within ranges specified in legislation may be made if necessary.

**2-7 Phase 6 – Project Startup or Construction Begins (Optional).**

This is the date the FAA issues a Notice to Proceed to the sponsor to begin equipment acquisition, etc.

**2-8 Phase 7 – Project Completion (Optional).**

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.

**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 a grant agreement (Phase 5), by mutual agreement of the sponsor and FAA. This type of action will occur when a sponsor decides it is unable to meet certain funding or other grant requirements.

## Chapter 3 PROJECT AND FUND CONTROL—OVERVIEW

### 3-1 General.

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

Most of the following forms are automated and communicate electronically with Accounting via the AIP 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 AIP system that corresponds 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, and to respond to daily requests for program information from government, industry, and the public. 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 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 ACIP requests or other coordinated requirements. Headquarters will enter the allotment advice into the AIP system upon OMB approval to allow regions to begin programming and obligating as necessary. 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, cargo, and state apportioned funds (entitlements) that are over 3 years old (over 4 years old for primary nonhub airports) and are classified as inactive funds may be transferred for use as discretionary funds. These funds will be transferred as necessary to the discretionary fund by APP–520 based on requests submitted by Regions to Headquarters on a

Request for Change in Allotment form.

### **3-5 Request for Change in Reservation/Obligation (FAA Form 1413–1).**

***Reservation of Funds for Grant Offer (See Chapter 8).*** Before a grant is offered, the regional Accounting Division is contacted via this form to assure that there are available funds in the regional allotment for this grant. Airports (region or ADO) will reserve funds required for the grant and will not offer the grant until Accounting acknowledges (certifies) the reservation.

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



## Chapter 4 AIRPORT IMPROVEMENT PROGRAM (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, various government and industry offices and the public. 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.

### 4-2 Work Site Data.

All data in this section apply to the airport or planning area. This information is needed for the ACIP and first-time projects only. For noise projects requested by nonairport sponsors, use data identifying the airport generating the noise. Data on the screen must be changed, as applicable, once the region/ADO are advised.

**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.

**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 **Pavement Maintenance projects**, use **PPM** before the state numerical code.

For **State sponsored projects**, use *three zeros* before the state numerical code.

***Site numbers can only be changed by the AIP system administrator.***

***Location Identifier.*** For projects at airports, enter the three or four digit alpha-numeric identifier shown on FAA Form 5010-1, Airport Master Record.

***NPIAS Number.*** Enter a two-character state code and a four character numerical code from the NPIAS/CIP.

***Region-Airport District Office:*** Enter the three letter identifier for the Region and/or ADO if applicable.

***Airport/Location Name.*** Enter the official name of the airport as it appears on FAA Form 5010-1. On system planning actions, enter the name of the area to be covered. For State Block Grant enter the state followed by Block Grant, i.e., State of Missouri Block Grant, for pavement maintenance enter Pavement Maintenance, and for State-sponsored projects, use – Various Locations. If the airport name or area covered exceeds 42 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, pavement maintenance, and state-sponsored projects.

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

A listing of airports and their enplanements will be provided by the National Planning Division (APP-400) at the start of each fiscal year.

***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 a listing of apportionments will be distributed to the regions.

***CS – Commercial Service Airport.*** A commercial service airport enplaning 2,500 to 10,000 passengers annually.

***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).

***CR – Commercial Service Reliever Airport.*** A reliever airport that also qualifies as commercial service.

**GA – General Aviation Airport.** Any eligible airport (airports in NPIAS) not identified in the above four 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 State Block Grant projects, the airport type letter codes will be entered in the airport type element field of 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 at least 0.25, but less than one percent.

**S – Small.** For airports enplaning at least 0.05, but less than 0.25 percent.

**N – Nonhub.** For airports enplaning more than 10,000, but less than 0.05 percent.

**Leave blank for State–sponsored projects that involve more than one type of airport and for State Block Grant projects.**

**New/Acquire 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.

#### **4-3 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(s). 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.

**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.

**Relieved LOCID.** Enter the name of the airport being relieved.

#### **4-4 Project Data.**

**Project Grant Number.** Enter a 11-character project grant number as shown

in Appendix 1. This 11-character project number will be used for projects being funded beginning in fiscal year 1999.

**Project Purpose.** Enter one of the following character numerical codes to denote the principal purpose of the project. These are used for all Departmental grant programs and codes 4, 5, 7 and 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 the following four codes for environmental actions (Leave blank for System Planning actions):

**A – Environmental Assessment**

**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 – Improve existing airport**

**2 – Construct new airport**

**3 – Master plan study**

**4 – System plan study****5 – Noise planning****6 – Off airport noise work****7 – Acquire Airport****8 – State Block Grant**

**Letter of Intent Indicator.** Enter letter L1 when project is covered under a first Letter of Intent; L2 when project is covered under a second Letter of Intent; etc.

**Military Indicator.** Enter an “M” when funding a designated project from the Military Airport Program (MAP).

**Project Description (Phase P).** Enter a narrative description of the work approved by the region using standard terminology. This description becomes a permanent part of the database and is never changed. There are 1,920 characters allotted to this field.

**Justification (Optional).** Explain why the programmed action, or any fund adjustment, or any revision to approved work is necessary. When splitting a project from a project that has already been OST cleared, state the project that the new project is being split from and the date OST released the original project so that headquarters can change the “P” to a “2” and enter the OST date for the “2”. When combining projects, state which projects are being combined.

**Headquarters Description.** Used by headquarters to enter the work description for reporting purposes, at phase 4 or phase 2 if work description is not changed. There are 1,920 characters allotted to this field.

**Regional Description.** Used by regions to show actual work placed under grant and any work affected by amendments. There are 1,920 characters allotted to this field.

**Federal Funds (AIP).** Enter the total Federal funds in the project, including funds to be obligated in future years for multi-year projects and funds committed in LOI's (to nearest dollar).

**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.** The computer will automatically compute this figure when the appropriate AIP percent of the Federal AIP funds in the project is entered.

**Total Project Funds.** Computer automatically enters 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 stipulated in the grant agreement.

**Project Status.** Enter an “S” (Split) for a project that is being funded from an already OST cleared project. Enter a “C” (Combined) when combining one or more OST cleared projects into one. Enter a “D” (Delete) when deleting a current year project that has not gone to grant. Enter a “W” (Withdraw) when withdrawing a prior year grant, phase 5 and beyond. For a project requiring OST clearance (exceeding \$500,000) enter an “I” (Increase).

#### **4-5 Project Phase.**

**Phase Number.** Enter a one-character code as follows:

***P – Automatically appears at time of programming***

***2 – Allocation – OST clearance***

***4 – Reservation of funds for grant offer***

***5 – Grant agreement***

***6\*– Project underway***

***7\*– Project physically completed***

***8 – Project financially completed***

***9 – Grant withdrawn***

\* These phases are optional.

**Phase Date.** Enter numerical ten-character date (month/day/year).  
Example: 01/20/1998.

See paragraph 4–8 for processing a specific funding year from a Letter of Intent to grant.



#### 4-6 Work and Funds Approved.

Entries shall be made in the following fields beginning with phase P or 4. 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 six character alpha code for the overall airport development objective. Refer to Program Guidance Letter 98–2 for complete explanation of overall airport development objective. The work codes are listed in Appendix 3. For State Block Grant projects use SBGPPP and for Pavement Maintenance grants use PPM MMM.

For State Block Grant and various location projects involving more than one type of airport, use the airport type element field to enter the code for the type of airport involved, e.g., CS or GA or R.

**Discretionary Funds:** Enter the amount of discretionary funds associated with the overall airport development objective.

**Apportioned Funds:** Enter the amount of apportioned (entitlement) funds associated with the overall airport development objective.

**Total Funds:** The AIP system automatically enters the total amount of Federal (AIP) funds associated with the overall airport development objective.

**Total Approved Funds:** The AIP system automatically enters the total amount of discretionary funds, apportioned funds, and total Federal (AIP) funds in the project.

#### 4-7 Federal Funds (To Nearest Cent).

Entries are made in the following fields at Phase P (Allocation), and adjusted entries are made, as necessary, through Phase 8 (Financial Completion).

**Appropriation/Limitation.** All current year obligations will be identified as 081.0. When processing the 107 for prior year recoveries the appropriation code will retain its original identity. However, when reobligating the funds the 081.0 appropriation code is used. Enter the codes for the type of funds in the project from the following (see notes on multi-year projects, airport category changes, and future code changes):

New Codes	Old Codes <sup>‡, §</sup>	Description
<b>81.1</b>		<b>Current year discretionary funds</b>
84	1	Prior year discretionary funds <sup>‡</sup>
<b>81.C</b>		<b>Current year funds apportioned to states</b>
84	P	Prior year funds apportioned to states <sup>‡</sup>
84	Y	Second prior year funds apportioned to States <sup>‡</sup>
84	X	All other prior year funds combined – apportioned to states <sup>‡, §</sup>
<b>81.I</b>		<b>Current year funds apportioned to insular areas</b>
84	N	Prior year funds apportioned to insular areas <sup>‡</sup>
84	S	Second prior year funds apportioned to insular areas <sup>‡</sup>
84	L	All other prior year funds combined – apportioned to insular areas <sup>‡, §</sup>
<b>81.D</b>		<b>Current year funds apportioned as Alaska Supplemental</b>
84	E	Prior year funds apportioned as Alaska Supplemental <sup>‡</sup>
84	F	Second prior year funds apportioned as Alaska Supplemental <sup>‡</sup>
84	G	All other prior year funds combined – apportioned as Alaska Supplemental <sup>‡, §</sup>
<b>81.A</b>		<b>Current year funds apportioned to sponsors of primary large, medium and small airports</b>
84	U	Prior year funds apportioned to sponsors of primary large, medium and small airports <sup>‡</sup>
84	T	Second prior year funds apportioned to sponsors of primary large, medium and small airports <sup>‡</sup>
<b>81.AA</b>		<b>Current years funds apportioned to sponsors of primary nonhub airports</b>
84	UU	Prior year funds apportioned to sponsors of primary nonhub Airports <sup>‡</sup>
84	TT	Second prior year funds apportioned to sponsors of primary nonhub Airports <sup>‡</sup>
84	HH	Third prior year funds apportioned to sponsors of primary nonhub airports <sup>‡</sup>
84	H	All other prior year funds combined—apportioned to sponsors of primary airports <sup>‡, §</sup>
93	1	Jobs discretionary <sup>‡</sup>
93	C	Jobs discretionary – state formula apportionment <sup>‡</sup>
<b>81.R</b>		<b>Current year cargo funds apportioned to large, medium and small airports</b>
84	J	Prior year cargo funds apportioned to large, medium and small airports <sup>‡</sup>
84	K	Second prior year cargo funds apportioned to large, medium and small airports <sup>‡</sup>
<b>81.RR</b>		<b>Current year cargo funds apportioned to primary nonhub airports</b>
84	JJ	Prior year cargo funds apportioned to primary nonhub airports <sup>‡</sup>
84	KK	Second prior year cargo funds apportioned to primary nonhub airports <sup>‡</sup>
84	MM	Third prior year cargo funds apportioned to primary nonhub airports <sup>‡</sup>
84	M	All other prior year cargo funds combined <sup>‡, §</sup>

<sup>‡</sup> All of these 84 codes apply only to recovered funds.

<sup>§</sup> These specific recovered appropriation / limitations funds may not be used in obligations of funds.

‡ All of these 84 codes apply only to recovered funds.

§ These specific recovered appropriation / limitations funds may not be 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 81.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 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.

**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 four numbers (1999, 2000, etc.) of the future fiscal year(s) in which the funds will be obligated.

**Sponsor Code:** If the project is funded with sponsor entitlements, the AIP system automatically inputs the four-character numerical sponsor code as shown in Order 1375.3.

When a sponsor elects to give his funds to another airport, the region will notify APP-520 (by copy of Agreement for Transfer of Entitlements, FAA Form 5100-10) of the amount and the sponsor code from which the funds will be transferred. APP-520 will enter in the sponsor database of the AIP system, the appropriate funds being transferred and reduce the appropriate funds from the applicable sponsor. APP-520 will notify the region upon completion of this action.

**Transaction Date:**

**Phase P Actions.** Enter numerical ten 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, including any adjustments.

For revisions to funds **after Phase 2 and before Phase 4** (Grant Offer), enter the date the fund adjustment is approved, with the exception of multi-year

and Letter of Intent projects, which will show the first day of the fiscal year of the adjustment if the adjustment affects the current year portion of the project. If the adjustment affects a prior year portion of a multi-year or Letter of Intent, enter the date the fund adjustment is approved.

***Adjustments to Funds – Phase 4 through Phase 8.*** Enter the date on which the fund adjustment is approved by Airports, with the exception of multi-year and Letter of Intent projects.

***Transaction Amount:*** Increase or Decrease. At Phase P (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:*** Computer automatically computes this figure.

#### **4-8 Special Considerations: Processing a Funding Year from a Letter of Intent (LOI).**

When processing a funding year from an original Letter of Intent project, the following guidelines are to be considered when adjustments in funding are required (i.e., when entitlement funds in the LOI payment schedule do not equal the amount available):

a. When entitlement funds (includes cargo and primary) are more than the amount scheduled in a year, the discretionary funds in the same year will be reduced by an amount equal to the increase in entitlement funds over the amount scheduled in the LOI. In this case, no adjustments have to be made to the future funding years in the original LOI allocation project.

b. When entitlement funds are less than the amount scheduled, that year's project may be reduced by the amount of the shortfall in the entitlement funds. In that case, an amount equal to that shortfall may be included in a future year of the LOI allocation project in the form of additional entitlement funds or supplemental discretionary funds. Another alternative would be the addition of another year to the LOI.

Adjustments made following subparagraphs a. and b. above will keep the total amount of the LOI as originally announced. Any adjustments must be submitted to APP-500 for approval before any action is taken.

## **Chapter 5 CONGRESSIONAL NOTIFICATION**

### **5-1 General.**

Congressional notification is required for new AIP projects and for project increases in excess of \$500,000. The Office of the Secretary's Office of the Assistant Secretary for Governmental Affairs, I-1, has the responsibility for Congressional notification of project data before any public announcement is made, including notification to the project sponsor. APP-520 will notify regions when the Congressional notification is completed.

### **5-2 Brief Description of Congressional Notification Process for New Projects.**

a. ADO/Regions input new project data, referred to as a Phase P, in the AIP system, including talking points. Once the regional designee approves the project, it is available to APP-520 for action.

b. APP-520 reviews and processes the new project information in the AIP system and generates, as needed, a "package" for congressional notification. This package consists of the following documents:

(1). A cover letter from ARP-1 to I-10 transmitting the projects for congressional notification. The package is coordinated through APP-520/500/2/1 and ARP-2; then it is forwarded to ARP-1 for signature.

(2). A listing of regional approved projects contained in the package. This listing is divided by state. For each project, it depicts key airport data (location, sponsor, and airport name), the 2-digit sequential project number, the Federal funds, and a brief description of work.

(3). A 2-page congressional notification set for each project in the package; namely, congressional call sheet and talking points.

c. Once signed, the package is duplicated in part. APP-520 keeps the original letter and project listing. APP-520 hand carries to AOA-1 and ADA-1 an information copy of the letter and project listing. APP-520 also hand carries to the FAA's Office of Government and Industry Affairs, AGI, for action a copy of the total package consisting of the letter, project listing, and the 2-page congressional notification set for each project in the package.

d. AGI reviews the projects in the package to determine if there has been any recent congressional interest. If there has been congressional

interest, AGI makes an appropriate comment on the congressional call sheet. If there has not been congressional interest, this field is left blank.

- e. AGI forwards the package to I-10.
- f. After I-10 makes the appropriate congressional notifications, I-10 notifies APP-520 of the release.
- g. APP-520 enters the project release information in the AIP system.
- h. ADO/Regions receive the project release information from the AIP system.

### **5-3 Brief Description of Congressional Notification Process for Increases In Excess Of \$500,000.**

Any AIP project to be increased in excess of \$500,000 is subject to the congressional notification process, which is described below:

- a. When an AIP project is to be increased in excess of \$500,000, ADO/Regions are to send an electronic mail message to their APP-520 contact, providing the following information:

Project Number (total):

Amount Previously Announced:

Date Announced:

Project Description:

Amount of Increase:

Entitlement Amount:

Discretionary Amount:

New Project Description:

Reason for Increase:

- a. APP-520 reviews the information and generates an FAA Grants Notification Report format. This format is faxed to I-10.

- b. After I-10 makes the appropriate notifications, I-10 notifies APP-520 of the release.

c. APP-520 enters the release information in the AIP system.

d. Local offices receive the release information from the AIP system. At this time, the local office updates the project information in the AIP system.

#### **5-4 Changes In Information.**

On occasion, there may be a change in a new AIP project after it has started the congressional notification process but before it has been released (e.g., withdrawn, delayed, funds reduced/increased, description change). Local offices should advise their APP-520 contact by electronic mail so that appropriate action can be taken. The action required will depend on the nature of the change and how far along the project is in the congressional notification process.

#### **5-5 Letter of Intent Projects.**

A Letter of Intent is subject to the congressional notification process. An AIP project to process a funding year from a Letter of Intent is also subject to the congressional notification process. In each case, the process is as described above for new projects. Once a project to process a funding year from an LOI is released, the local office will adjust the initial Letter of Intent project in the AIP system. The amount of the initial LOI project will be reduced by the amount released and will then represent the amount remaining in the payment schedule. (Reference paragraph 4-8)

#### **5-6 Preparation of Talking Points.**

When local offices input a new project in the AIP system for processing for congressional notification, talking points can be entered in the AIP system at the same time. Talking points are not required for increases. A sample of the talking points output report used in a "package" is included in Appendix 4. As appropriate, noteworthy information about the AIP project should be included in the talking points as well as the name, title and phone number of the local official most interested in the project. Because the audience is the congressional delegation, there should be no acronyms or abbreviations.

#### **5-7 Recurring Reports.**

a. APP-520 provides weekly, or as requested, a list of projects pending congressional notification to APP-500/2/1, ARP-1/2, AGI and I-10.

b. APP-520 provides daily, or as appropriate, a list of projects announced to APP-500/2/1 and ARP-1/2.

**c.** Project release information is available on the internet at the website address: <http://www.faa.gov/arp/arphome.htm>.



## **Chapter 6 ENTITLEMENT AND DISCRETIONARY FUND CONTROL**

### **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. Data resides in the AIP system for the allotment advices (FAA Form 2510–17), sponsor cards (FAA Form 5100–102), state apportionment (FAA Form 5100–104) and discretionary fund control sheet (FAA Form 5100–105). This data is now automated and can be retrieved using the report generators in the AIP system to reconcile your records. Off-the-shelf spreadsheet programs, such as Excel, may be used to track your project transactions.

The following paragraphs describe use of the various reports in the AIP system to aid you in balancing your funds.

### **6-2 Total Program Control.**

A report titled ‘Appropriation Limitations’ is an example of the data in the AIP system designed to provide control of each state’s total program broken down by sources of funds.

### **6-3 Discretionary Fund Control.**

The automated discretionary ledger is designed to provide program control of the allotments and programming of all types of discretionary funds. It is based on the current year’s activity for limitation codes 81.1, 84.1, 93.1 and 98.1.

### **6-4 Primary/Cargo Apportionment Funds.**

This data resides in report generator “Sponsor Entitlement” and “Cargo Entitlement” and is designed to provide control of available sponsor and cargo apportionments for each sponsor.

### **6-5 State/Insular/Alaskan Apportionment Funds.**

This data resides in report generator “State Entitlement” and is designed to provide control of available funds for state, insular, and Alaskan supplemental.

## **6-6 Start of Year Adjustments.**

At the beginning of each fiscal year, APP-520 makes the rollover adjustments that are necessary in the AIP control records due to yearly limitations for state, Alaskan supplemental, sponsor and cargo apportionments.

## **6-7 Allotment of Funds.**

Upon receiving FAA Form 2510-17 allotments, APP-520 makes the following entries into the AIP system.

***Allotment of State Apportionment Funds.*** These funds are shown on Report Generator titled "State Entitlement" for each state. Insular funds are treated as state funds. All current year allotments are added to rolled over funds to create beginning fiscal year balances.

***Allotment of Primary Airport and Cargo Apportionment Funds.*** These funds are shown on Report Generators "Sponsor Entitlement" and "Cargo Entitlement" for each sponsor and are added to the balance. All current year allotments are added to rolled over funds to create beginning fiscal year balances.

***Allotment of Discretionary Funds.*** The "Discretionary Ledger Report" is broken down into two parts. The first part contains current year allotments, programmed/obligated actions against the allotments and the balance. This balance reflects all actions in the system. The allotment figures appearing reflect those allotments for which a budgetary form, FAA Form 2510-17, has been issued and for any planning figures awaiting issuance by the budget office. The second part addresses recoveries, conversion of projects and upward adjustments to prior year projects. These funds are shown on Report Generator titled 'Discretionary Ledger' and are added to prior years' recovery.

## **6-8 Programming Transactions and Priority Use of Funds.**

All programming transactions are shown in the AIP system as 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 it banks entitlements for future year priority work, but any priority changes should be discussed with APP-520.

## **6-9 Downward Adjustments to Allocations.**

For downward adjustments to recorded allocations (funds announced but not yet granted to a sponsor) or cancellations of allocations, enter as a decrease

on the “transaction screen” the applicable source of funds and 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 6–8.

#### **6-10 Reservation of Funds for Issuance of Grant Offers.**

The funds reserved for grant offers are shown in the AIP system as a Phase 4. Any funding adjustments that are to be made for the grant offer should be entered on the transaction screen and the accuracy of the grant description should be verified prior to generating the FAA Form 1413–1 in the AIP system.

#### **6-11 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 6–8 (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 transaction screen in the AIP system as a decrease.

#### **6-12 Conversion of Inactive Apportionment Funds to Discretionary Funds.**

After electronic submittal of regions’ request, APP–520 will convert all inactive apportionment (entitlement) funds to the discretionary account by adjusting the appropriate fund in the AIP system. The converted funds are retained in the region or can be transferred to the Washington office discretionary account.

#### **6-13 Monthly Reconciliation of Balances to FAA Form 2510–17 Allotments.**

A computer generated regional summary of the month end entries for each state is retrieved from the AIP system and will be reconciled with the total availability on the current 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). 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 guidelines are also included.

**a. Annual Statutory Limitation.** There is an annual statutory limitation on the aggregate of all airport grant obligations that 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 funds and current year recoveries of current 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 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 and 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 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),

reobligations of recoveries of prior year funds in the AIP and ADAP accounts, which are intended to be made in the current fiscal year, will be administratively restricted on the national 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 3-year or 4-year restriction of such funds (see paragraph 7-2g(5)).

**f. Controls On the Use of Recovered Funds.** The Office of Financial Management and APP-520 will jointly establish controls on the use of recovered ADAP 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.** The reobligation of ADAP 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 ceiling (for example, between regions) should be requested from APP-520. Subject to ceilings, the availability of ADAP recoveries or reobligation will be monitored and determined for the regions by APP-520. Adjustments involving the shifting of such funds between regions (within approved ceilings) should be requested from regional accounting offices. All unobligated funds that have been recovered on and after September 3, 1982, will be available to ADAP 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 amount in that region. The excess, however, is subtracted (through the headquarters Office of Financial Management) 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 and AIP Funds.** The controls established by the Office of Financial Management on the availability of ADAP prior year recoveries and by APP-520 on the reuse of ADAP and AIP prior year fund recoveries will follow the principles stated below.

**(1)** Prior year funds recovered in the ADAP grant program may be reobligated for grant adjustments in the ADAP program 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 and prior year grants. Regions are cautioned not to use AIP recoveries for any other purpose, except to satisfy amendments to prior year AIP grants, unless clearance is first received from APP-520.

Recovered sponsor and state entitlement funds that are still within their active 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 funds, not recoveries.

**(3)** As stated in paragraph 7-2a, the statutory annual limitation applies “across-the-board” to the aggregate of ADAP and AIP obligations, including reobligations. If the national aggregate of the current year’s reobligations of ADAP funds is at any time less than the national aggregate of the current year ADAP recoveries, then the shortfall may permit, within the statutory annual, overall limitation on obligations, increase obligations 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 funds by a corresponding amount. Prior year ADAP 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 recovered AIP entitlement funds which had been apportioned to him subsequently claims such funds, and the 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 recovery 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 adjustments 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 the headquarters and regional Budget offices. When a project is to be funded, the regional Accounting Office is notified of its cost via 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 AIP system.

### **8-2 Budgetary Authorization, FAA Form 2510–17.**

APP–520 develops funding levels for regions based on the ACIP and formally requests the headquarters Office of Budget 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 as a total availability 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 AIP system screens and is used by Regional Airports Divisions/Airport District Offices 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. 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. *(Computer generated)*

**Appropriation Symbol.** Symbol 69X8106.84 shown in Chapter 5, paragraph 500C of Order 1375.6, Standard Data Elements and Codes – Accounting. *(Computer generated)*

**Title.** Airport Improvement Program. *(Computer generated)*

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

**Program Element.** This field will contain the appropriate code, i.e., A, AA, C, etc., which will be fed automatically from the transaction screen. This field will not contain data when recovering funds.

**State Code.** A two-digit number. (See Appendix 2.) *(Computer generated)*

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

**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.) *(Computer generated)*

**Previous Amount.** Blank for the first time a reservation of funds is requested for a new project. On subsequent changes, shows the amount of the funds obligated or reserved for that project before the requested adjustment. *(Computer generated)*

**Amount Requested.** The amount of funds to be reserved for a new project or the increase or decrease to a prior reservation/obligation. *(Computer generated)*

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

**Project Identification Symbol.** The 11–digit Application/Grant Number. (See Appendix 1.) *(Computer generated)*

**Location.** 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). *(Computer generated)*

**Total Amount Requested.** Amount of the funds to be reserved for a new project or the increase or decrease to a prior reservation/obligation.  
*(Computer generated)*

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

**Description of Work.** The description of work as it will appear in the grant agreement. *(Computer generated)*

**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." *(Operator input)*

**Requested by/Recommended by.** Name and title of regional, ADO or field office Airports personnel authorized to request/recommend these actions. Include date recommended. *(Operator input)*

**Accounting Division Certification.** Appropriate regional Accounting Division authorization including date, name and title. *(Operator input)*



## APPENDIX 1 PROJECT NUMBERING SYSTEM

### 1-1 GENERAL.

Each project is assigned a separate and consecutive project number. 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 11 digits for a fully approved project are developed as follows:

3	21	0120	08	99	Full Project Number Example
<b>3</b>					Current Program Code (AIP)
	<b>21</b>				State code
		<b>0120</b>			NPIAS Number
			<b>08</b>		Project number (eighth project approved under AIP)
				<b>99</b>	Fiscal Year (1999) that grant was awarded (obligated)

**Program Code.** Use a 3 for AIP.

**State Code.** A two-digit state or outlying area code (from Appendix 2) and a two zero (00) code for Metropolitan 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 Appendix 5). The numeric state code plus 2 zeros for state sponsored project encompassing work performed at several airports within a state. Use code: SBGP, for states participating in the State Block Grant Program. For Pavement Maintenance projects, use zero, numeric state code, followed by a zero, i.e. 0460.

**Project Number.** Two-digit consecutive numbering (regardless of year) of project grants at a specific airport or for block grants within a state 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 for metropolitan plans followed by 1 thru 9, then A thru Z, as necessary.

L1 for a project covered under a first Letter of Intent, L2 for project covered under a second Letter of Intent. 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.)

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
District of Columbia	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	
OUTLYING AREAS			
American Samoa	AS	60	Puerto Rico PR 72
Guam	GU	66	Trust Territories Pacific TT 75
Northern Mariana Islands	CQ	69	Virgin Islands VI 78





## APPENDIX 3 NPIAS – ACIP STANDARD PROJECT DESCRIPTIONS

NPIAS – ACIP Standard Project Descriptions	ACIP Codes		
	P u r p o s e	C o m p o n e n t	T y p e
<b>APRON</b>			
Construct {name} Apron	CA	AP	CO
Expand {name} Apron	CA	AP	EX
Construct {name} Apron (environmental mitigation)	EN	AP	CO
Rehabilitate {name} Apron	RE	AP	IM
Construct {name} Apron	ST	AP	CO
Expand/Strengthen {name} Apron	ST	AP	IM
Install {name} Apron Lighting	ST	AP	LI
<b>BUILDINGS</b>			
<Construct/Expand/Improve/Modify/Rehabilitate> ARFF Building [ Pt. 139 only]	SA	BD	EX
<Construct/Expand/Improve/Modify/Rehabilitate> {describe} Building	ST	BD	MS
<Construct/Expand/Imp/Modify/Rehabilitate> <SRE/Chemical Storage Building/etc.>	ST	BD	SN
<b>EQUIPMENT</b>			
Acquire Driver's Enhanced Vision System	ST	EQ	MS
Acquire Interactive Training System	OT	EQ	MS
Acquire ARFF Vehicle [required by Part 139 only]	SA	EQ	RF
Acquire ARFF Safety Equipment {describe} [required by Part 139]	SA	EQ	RF
Acquire Security Equipment/Install Fencing {e.g., access control} [required by Part 107]	SA	EQ	SE
Acquire Aircraft Deicing Equipment	ST	EQ	DI
<Acquire/Install/Rehabilitate> Emergency Generator	ST	EQ	LI
Acquire ARFF Safety Equipment {describe} [not required by Part 139]	ST	EQ	MS
Acquire Equipment (e.g., Sweepers, etc.)	ST	EQ	MS
Acquire ARFF Vehicle [not required by Part 139]	ST	EQ	RF
Acquire Security Equipment/Install Perimeter Fencing {e.g., access control} [not Part 107]	ST	EQ	SE
Acquire <SRE/Urea Truck/etc.>	ST	EQ	SN
Acquire Friction Measuring Equipment	ST	EQ	SR
Install Weather Reporting Equipment {describe, e.g., AWOS }	ST	EQ	WX
<b>FINANCE</b>			
Administrative Costs (PFC)	OT	FI	AD
Financing Costs	OT	FI	BO

NPIAS – ACIP Standard Project Descriptions	ACIP Codes		
	P u r p o s e	C o m p o n e n t	T y p e
<b>GROUND TRANSPORTATION</b>			
<Construct/Expand/Improve/Modify/Rehabilitate> <Inter/Intra> Terminal People Mover	OT	GT	PM
<Construct/Expand/Improve/Modify/Rehabilitate> Access Rail	OT	GT	RL
<Construct/Expand/Improve/Modify/Rehabilitate> Access Road	OT	GT	AC
<Construct/Expand/Improve/Modify/Rehabilitate> Service Road	OT	GT	SV
<b>HELIPORT</b>			
<Construct/Expand/Improve/Modify/Rehab> Helipad/Heliport	ST	HE	CO
<b>RESIDENCE</b>			
Noise Mitigation measures for residences outside 65 DNL	EN	HO	60
Noise Mitigation measures for residences within 65 – 69 DNL	EN	HO	65
Noise Mitigation measures for residences within 70 – 74 DNL	EN	HO	70
Noise Mitigation measures for residences within 75 DNL	EN	HO	75
<b>LAND</b>			
Acquire <land/easement> for noise compatibility/relocation {# relocated} outside 65 DNL	EN	LA	60
Acquire <land/easement> for noise compatibility/relocation {# relocated} within 65 – 69 DNL	EN	LA	65
Acquire <land/easement> for noise compatibility/relocation {# relocated} within 70 – 74 DNL	EN	LA	70
Acquire <land/easement> for noise compatibility/relocation {# relocated} within 75 DNL	EN	LA	75
Acquire <land/easement> for development/relocation {list parcels and/or # relocated}	ST	LA	DV
Acquire miscellaneous land {describe, e.g., land for outer marker, relocate road}	ST	LA	MS
Acquire land/easement for approaches {list parcels}	ST	LA	SZ
<b>NEW AIRPORTS</b>			
Construct New Airport	CA	NA	CO
Acquire [existing] Airport	ST	NA	AQ
Construct New Airport	ST	NA	CO
<b>OTHER</b>			
Construct Deicing Containment Facility	EN	OT	DI
Noise Mitigation Measures [miscellaneous]	EN	OT	MS
Environmental Mitigation	EN	OT	MT
Install Noise Monitoring System/Equipment	EN	OT	NO
<Construct/Improve/Repair> <Fuel Farm/Utilities> [MAP]	OT	OT	FF
<Construct/Rehabilitate> Parking Lot [non revenue producing–non hub/MAP]	OT	OT	PA
<Light/Mark/Remove> Obstructions {list location}[hazard only e.g., approaches]	SA	OT	OB

NPIAS – ACIP Standard Project Descriptions	ACIP Codes		
	P u r p o s e	C o m p o n e n t	T y p e
Install <Guidance Signs/ Runway Incursion Caution Bars> [required by Part 139]	SA	OT	SG
Install <Guidance Signs/ Runway Incursion Caution Bars> [non Part 139 CS]	SP	OT	SG
<Install/Rehabilitate> Airport Beacons [required by Part 139]	SA	OT	VI
Install miscellaneous <NAVAIDS/Approach Aids> {segmented circle, beacon, etc., Not ALS}	SP	OT	IN
Install miscellaneous <NAVAIDS/Approach Aids> { segmented circle, beacon, etc., Not ALS}	ST	OT	IN
Improve Airport <Drainage/Erosion Control/miscellaneous improvements>	ST	OT	IM
<Light/Mark/Remove> Obstructions {location}	ST	OT	OB
Construct ARFF Training Facility/Regional Burn Pit/Mobile Training Facility	ST	OT	RF
Install <Guidance/other> Signs [not Part 139]	ST	OT	SG
Construct Deicing Containment Facility	ST	OT	DI
<b>PUBLIC BUILDINGS</b>			
Noise Mitigation measures for public buildings outside 65 DNL	EN	PB	60
Noise Mitigation measures for public buildings within 65 – 69 DNL	EN	PB	65
Noise Mitigation measures for public buildings within 70 – 74 DNL	EN	PB	70
Noise Mitigation measures for public buildings within 75 DNL	EN	PB	75
<b>PLANNING</b>			
Conduct <EA/EIS/Feasibility> <study/update>	EN	PL	MA
Conduct Noise Compatibility Plan study/update {Part 150}	EN	PL	NO
Conduct Ground Transportation/Rail Study	PL	PL	AC
<Conduct/Update> <Airport Master Plan Study {ALP, EA, etc.}>	PL	PL	MA
Conduct/Update Metropolitan System Plan Study	PL	PL	ME
<Conduct/Update> {name} (e.g., Pavement Maintenance Plan, PCI, NPDES, Y2K, etc.)	PL	PL	MS
<Conduct/Update> State System Plan Study	PL	PL	ST
Conduct Vertiport/Tiltrotor Plan	PL	PL	VT
<b>RUNWAYS</b>			
Construct Runway {name}	CA	RW	CO
Extend Runway {name}	CA	RW	EX
Construct Runway {name} (environmental mitigation)	EN	RW	CO
Rehabilitate Runway {name}	RE	RW	IM
Rehabilitate Runway <Lighting/Electrical Vault>	RE	RW	LI
Install Runway Lighting ( HIRL, MIRL) [Required by Part 139]	SA	RW	LI
Install Runway Lighting (HIRL, MIRL) [non Part 139 CS]	SP	RW	LI
<Construct/Extend/Improve> Runway {name} Safety Area [Primary Airports]	SA	RW	SF
<Apply Friction Course/Groove> Runway	SP	RW	FR

NPIAS – ACIP Standard Project Descriptions	ACIP Codes		
	P u r p o s e	C o m p o n e n t	T y p e
Install Runway {name} distance-to-go Signs	SP	RW	SG
Install Runway {name} <Vertical/Visual> Guidance System [PAPI/VASI/REIL/ALS/etc.]	SP	RW	VI
Construct Runway {name} [includes relocation]	ST	RW	CO
<Construct/Extend/Improve> Runway {name} Safety Area [Non-Primary Airports]	ST	RW	SF
Install Runway Lighting (HIRL, MIRL, TDZ, LAHSO or CL)	ST	RW	LI
<Extend/Widen/Strengthen> Runway {name} [to meet standards]	ST	RW	IM
Install <full/partial> Instrument Approach Aid {describe, e.g., install localizer}	ST	RW	IN
Install Runway {name} Sensors	ST	RW	SR
Install Runway {name} <vertical/visual> Guidance System [PAPI/VASI/REIL/ALS/etc.]	ST	RW	VI
<b>SEAPLANE BASES</b>			
Rehabilitate Seaplane <ramp/floats>	RE	SB	IM
<Construct/Improve/Modify> Seaplane ramp/floats	ST	SB	CO
<b>TERMINAL DEVELOPMENT</b>			
Construct Terminal Building	CA	TE	CO
Expand Terminal Building	CA	TE	EX
<Improve/Modify/Rehabilitate> Terminal Building	CA	TE	IM
Construct Terminal Building	ST	TE	CO
Expand Terminal Building	ST	TE	EX
<Improve/Modify/Rehabilitate> Terminal Building	ST	TE	IM
Acquire Handicap Passenger Lift Device	ST	TE	MS
<b>TAXIWAYS</b>			
Construct Taxiway {name}	CA	TW	CO
Extend Taxiway	CA	TW	EX
Construct Taxiway {name} (environmental mitigation)	EN	TW	CO
Rehabilitate Taxiway	RE	TW	IM
Rehabilitate Taxiway {name} Lighting	RE	TW	LI
Install Taxiway {name} Lighting (MITL) [Required by Part 139]	SA	TW	LI
Install Taxiway {name} Lighting (MITL) [non Part 139 CS]	SP	TW	LI
Construct Taxiway {name} [includes relocation]	ST	TW	CO
<Extend/Widen/Strengthen> Taxiway {name}	ST	TW	IM
Install Taxiway {name} Lighting (SMGCS, reflectors, MITL)	ST	TW	LI
Install Taxiway {name} Sensors	ST	TW	SR
<b>VERTIPTS</b>			
<Construct/Expand/Improve/Modify/Rehabilitate> Vertiport	ST	VT	IM

**APPENDIX 4 TALKING POINTS****NOTICE OF AWARD****-TALKING POINTS-****APPLICANT: CITY OF ORLANDO****LOCATION: ORLANDO INTERNATIONAL  
ORLANDO, FL**

<b>PROJECT NO:</b>	<b>54 99</b>	<b>ENTITLEMENT</b>	<b>\$0</b>
		<b>DISCRETIONARY:</b>	<b>\$6,525,284</b>
		<b>TOTAL</b>	<b>\$6,525,284</b>

**DESCRIPTION: REHABILITATE RUNWAY**

- THIS GRANT WILL PROVIDE FEDERAL FUNDING FOR REHABILITATION OF THE SOUTHERN END OF RUNWAY 13R/36L AT THE ORLANDO INTERNATIONAL AIRPORT.
- THE PROJECT WILL CONSIST OF REHABILITATION OF THE SOUTHERN END OF RUNWAY 18R/36L; REALIGNMENT OF TAXIWAY A3 TO MEET STANDARD TURNING RADII REQUIREMENTS; AND THE REHABILITATION OF TAXIWAY A AND EDGE LIGHTING.
- THIS PROJECT IS REQUIRED TO ENHANCE SAFETY AT THE AIRPORT.
- THE POINT OF CONTACT FOR THE ORLANDO INTERNATIONAL AIRPORT IS MR. EGERTON K. VAN DEN BERG, EXECUTIVE DIRECTOR FOR THE GREATER ORLANDO AVIATION AUTHORITY (407) 825-2049.

ALL ADMINISTRATIVE AND STATUTORY REQUIREMENTS HAVE BEEN MET; THEREFORE, THE GRANT IS READY FOR OBLIGATION AND RELEASE.

**CONGRESSIONAL DISTRICT: 08 03****DOT REGIONAL CONTACT: DEAN STRINGER, ACTING****TELEPHONE NUMBER: (407) 812-6331**



**APPENDIX 5 METROPOLITAN PLANNING AGENCY CODES****Metropolitan Agencies  
Letter and Number Codes Preassigned  
to Each Regional Office**

<b>FAA Region</b>	<b>Sponsor Code Multi-State Metropolitan Planning Agencies</b>
EASTERN	A001 TO A099
SOUTHERN	B101 TO B199
CENTRAL	C201 TO C299
SOUTHWEST	D301 TO D399
WESTERN PACIFIC	E401 TO E499 OR G601 TO G699
ALASKAN	F501 TO F599
NEW ENGLAND	H701 TO H749
GREAT LAKES	J751 TO J849
NORTHWEST MOUNTAIN	K851 TO K899 OR L901 TO L949





## APPENDIX 6 VOLPE AIP DATABASE MENU

### INTRODUCTION

The AIP database is housed at the VOLPE center in Cambridge, Massachusetts. The database is used as an informational tool and funds control tool and is divided into two parts, Database Maintenance and Report Generators. The first part, Database Maintenance, is the principal piece of the AIP and consists of two sections, Main Menu and Special Options and is used to add new projects and update information on existing projects. The second part, Report Generators, is used to generate reports that provide information to the public and provide a means of tracking funds.

### MAIN MENU

This section consists of eight screens. Listed below is a brief description of each screen.

**Screen #1 Talking Points** – Used to explain AIP project to Congressional offices in conjunction with Congressional notification process. Also appearing on this screen is a Noteworthy/Critical Timing section. This section is used to show the project is noteworthy, date for which OST clearance is required, critical timing (place a “Y” in this field) and justification for the time critical need.

**Screen #2 Grants** – Used to input information for all projects expected to be placed under grant within a fiscal year. The project number, environmental action, project purpose, special indicators, i.e., LOI and military, if applicable, abbreviated work description, federal funds, project status, used to show when a project is being split, combined, withdrawn, deleted, or increased (greater than \$500,000), AIP percentage, and phase date are elements required for input on this screen at the time of a programming action.

**Screen #3 Description** – This screen consists of six elements. The phase 2 description shows the work to be announced by OST. Once OST clearance is obtained, this description **will never be changed**. The justification field is **optional**; however, when used it should supply data as it relates to the project, i.e., project will provide soundproofing for residences and relocation of others in the runway approach area. This field is **not optional** when the project status field from the grant screen is used. When this field is used, the justification will state what project is being combined or split, reason for increase, withdrawal, or delete. The grant description should detail the work being performed for a specific project, i.e., construct new

runway and taxiway and should agree with the grant agreement. Headquarters work description is completed by headquarters and is used to provide standardized reports. Project comment is used by headquarters. View description allows the user to view the phase 2 description, grant description and headquarters description on one screen.

**Screen #4 Transactions** – Used to input the type of funding, date and funds associated with funding type and where applicable, advance fund year, and sponsor code. The discretionary field will be used when:

- 1) Using recovered funds on a current year grant, user is required to enter “PY” and
- 2) When using current year funds on a prior year grant, user is required to enter “CY”.

**Screen #5 Work Funds** – Enter a six-character work code and applicable funds as they relate to the work being performed. The funds associated with work codes **must** equal the funds by limitation, which appears on screen #4. If these funds do not equal, the system will give you a diagnostic message. If the work code has a combination of funds, i.e., entitlement and discretionary, it is not necessary to have a line entry for each of these funds. When funding a State Block Grant or Various Locations project the airport type associated with applicable funds is to be entered in the airport type field. For projects prior to fiscal year 1998, a one character alpha code is required in the development category. For projects funded in fiscal year 1998 and beyond no data will be input for units of work, development category or work priority. Regions have the option to input this data at the phase 2 or phase 4 stage. When entered at phase 2 this information will **not** appear in reports generated that are specific to funds associated with work codes until a phase 4 and date have been entered in the system.

**Screen #6 Phases** – Phases can be entered on this screen in lieu of screen #2 when there are no other changes to the project. A control “G” at any phase will permit additional information to be supplied at this point, i.e., “phase 8 based on final audit”.

**Screen #7 Work Site** – Used to enter applicable airport data and sponsor information for a project being entered into the system for the first time. Once this data has been entered it becomes a permanent element of each new grant record and should only be changed when an airport type, hub type, sponsor name, etc. changes. It is imperative that the airport type and hub type be updated, if applicable, based on the Primary Enplanement Activity Summary provided by the National Planning Division at the start of

each fiscal year. The site code **can only** be changed by the AIP System Administrator.

**Screen #8 1413-1** – Used by the regions/ADO's to create the 1413-1 which is used to obligate and adjust project funds as applicable. The 1413-1 number is automatically transferred to the transaction screen after certification by the accounting office. Use of the contract number is OPTIONAL.

**Screen Navigating Tips** – Use of the TAB allows for moving from one element to another on any of the above-mentioned screens. Tabbing through the complete screen is not necessary. Once the change has been made to the applicable element, a **CONTROL "Z"** will take you to **"FIELD"**. If no further changes are required on additional screens, pressing the **"ENTER"** twice will give the prompt to **"UPDATE"**. If additional changes are necessary, at the **"FIELD"** press the **"ENTER"** to either enter the screen number desired or **"ENTER"** twice for the system to prompt you to the next appropriate screen. A **SHIFT ?** (Help feature) shows a pull down screen to indicate what are valid entries for any element of a particular screen.

## **SPECIAL OPTIONS**

This section consists of ten screens. Listed below is a brief description of each screen.

**Screen #9 Locate** – Provides airport location information based on option selection that includes city, state, locid or NPIAS number. This screen will show airport name, site #, locid, NPIAS, airport and hub type.

**Screen #10 Funds** – Shows the available funds by sponsor to include entitlement and cargo funds. Also shown on this screen are available state funds to indicate funds available for the entire state.

**Screen #11 Total** – Provides the total number of grants, funds obligated by discretionary, entitlement and total by using any one of the selection criteria provided.

**Screen #12 Unapproved Grants** – Projects awaiting review and approval by the regional person or alternate prior to forwarding to headquarters.

**Screen #13 Package Approval** – Used by headquarters to process phase 2's, into a package for OST clearance after approval by the region.

**Screen #14 Uncertified 1413-1's** – Used by the regional person or alternate. Allows the regional person or alternate to review and process prior

to forwarding to the accounting office, who also uses this option for certification purposes.

**Screen #15 Certified 1413's** – Represents certified 1413's returned to region from accounting office.

This option **must** be completed by the regional office for each 1413-1.

**Screen #16 View 1413's** – Allows users of the system to view a 1413-1 at any given time from the permanent uncertified and/or certified areas.

**Screen #17 Phase 4 Approval** – Used by headquarters to review work codes as they relate to the regional work description and any fund changes that may have occurred.

**Screen #18 View Total Form** – Allows the user to view the total form.

## REPORT GENERATORS

The report generator section of the AIP is set up in 5 different categories.

In order to minimize the time it takes the computer to gather data requested and time for the user to generate a report, it is important to use the selection criteria in the most advantageous manner.

The system provides selection criteria to include region, ADO, state, fiscal year, locid, site, project number, date, etc. When requested information is for State only hit **ENTER** at the region prompt and continue to hit **ENTER** until you get to the State prompt and enter the two digit alpha state code, i.e., GA (Georgia) and continue with **ENTER** until the next applicable field. If you are requesting info for an entire state for a particular fiscal year, enter the two digit numeric code for the fiscal year, i.e., "98" and at the next prompt, hit **ENTER** and "99" at the next prompt. Answer **YES** to the question "Are all selections correct". If you wanted information for a particular site for all fiscal years, hit **ENTER** until you get the site prompt and enter site number and **ENTER** until you get the fiscal year prompt and **DO NOT** enter anything at this prompt, hit **ENTER** and 99 at next prompt. Answer the question. If the answer is "**NO**" because you realized that you wanted something different, the system will take you back through all the prompts. If you want information for a particular time frame you could span the dates at the date prompt, i.e., start date 01/01/98 ending date 01/30/98.

All reports can be created in a batch mode enabling the user to continue working on the computer while the report is generating. Reference the

available help text for the batch option. This is done by entering "Y" when the computer asks if this will be a batch job. It is important to remember the number of the report and the section of the report generator, so that when you are ready to print the report, and get to your name prompt, you can enter the applicable information. When you are ready to print the report follow the procedures for your specific regional setup.

If you have generated a numerous number of reports and want to clear out your directory you get to your name prompt and enter **del \*.\*;** If you want to delete all reports in your directory except for the last one generated enter **purge.**