

Also:

Hg-650

AC 150/5100-3A

FEDERAL-AID AIRPORT PROGRAM

Procedures Guide for Sponsors



SEPTEMBER 20, 1968

DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION

Washington, D.C. 20590

CHANGE



AC NO: AC 150/5100-3A

DATE: 11/28/69

CHG 1

ADVISORY CIRCULAR

DEPARTMENT OF TRANSPORTATION FEDERAL AVIATION ADMINISTRATION

CHANGE 1 TO ADVISORY CIRCULAR 150/5100-3A

SUBJECT: FEDERAL-AID AIRPORT PROGRAM
PROCEDURES GUIDE FOR SPONSORS

1. **PURPOSE.** This change transmits revised pages of Advisory Circular 150/5100-3A.
2. **PRINCIPAL CHANGES.** Paragraphs 9 and 10 have been rearranged and revised to reflect recent amendment of FAR 151.31 and Paragraphs 540, 541 of Handbook 5100.1A. These changes provided additional safeguards to assure satisfactory engineering and construction supervision and inspection by sponsors. The handbook change also provided standards of qualification for use by sponsors in selecting supervisory and inspection personnel and greater detail as to the FAA inspectors duties.

The revision of Paragraphs 9 and 10 has provided the opportunity for other minor revisions, correction and updating necessary to keep the advisory circular current. These revisions include in part, Appendices 1-1, 2-1, 4-1, and 6-4.

3.

PAGE CONTROL CHART			
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11/28/69

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Chester G. Bowers
Director, Airports Service

AC NO: AC 150/5100- 3A

DATE: 9/20/68



ADVISORY CIRCULAR

DEPARTMENT OF TRANSPORTATION FEDERAL AVIATION ADMINISTRATION

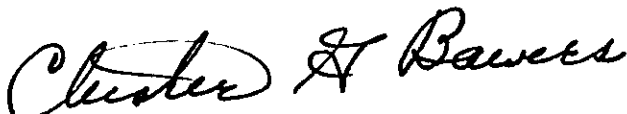
SUBJECT: FEDERAL-AID AIRPORT PROGRAM
PROCEDURES GUIDE FOR SPONSORS

1. **PURPOSE.** This advisory circular provides guidance to public agencies that sponsor or propose to sponsor projects under the Federal-aid Airport Program (FAAP) authorized by the Federal Airport Act (49 U.S.C. 1101 - 1120).
2. **SCOPE.** The guidance is an explanation of requirements and procedures applicable to most FAAP development projects. For the sake of brevity it does not discuss requirements and procedures that are of interest in only a small portion of projects. FAA area offices will provide information, as required, for specific projects.
3. **CANCELLATION.** This advisory circular cancels Advisory Circular 150/5100-3, Federal-aid Airport Program - Procedures Guide for Sponsors, dated 6/30/66.
4. **REFERENCES.** Part 151 of the Federal Aviation Regulations (14 CFR Part 151) prescribes the policies and procedures for administering the Federal-aid Airport Program. Section number references given in parentheses in this advisory circular are the applicable sections of Part 151. The guidance in the advisory circular is consistent with the Regulation but does not quote the sections. The Regulation, Part 151 of the Federal Aviation Regulations, Federal Aid to Airports may be ordered from the Superintendent of Documents, Government Printing Office, Washington, D. C. 20402. The price is \$0.40 per copy.

Other Federal Aviation Administration (FAA) publications that should be used as references for design, construction, and project administration are listed in the Bibliography, Appendix 1-1.

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5. HOW TO GET THIS CIRCULAR. Additional copies of this circular may be obtained from the Department of Transportation, Distribution Unit, TAD-484.3, Washington, D. C. 20590.

A handwritten signature in black ink, reading "Chester G. Bowers". The signature is written in a cursive style with a large, stylized "C" and "B".

Chester G. Bowers
Director, Airports Service

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CHAPTER 1. INTRODUCTION TO THE FEDERAL-AID AIRPORT PROGRAM

1. PURPOSE OF THE PROGRAM. The Federal-aid Airport Program (FAAP) assists in bringing about a nationwide system of public airports through grants of funds to public agencies, referred to as "sponsors," who now own or propose to establish those airports.
 - a. Authority. The Federal Airport Act (49 USC 1101 - 1120) authorizes these grants. This Act, in addition to stipulating basic procedures and requirements, authorizes appropriation of funds.
 - b. National Airport Plan (Section 151.3 FAR). The Federal Aviation Administration (FAA) prepares each year a "National Airport Plan" (NAP) for the development of public airports in the United States, Puerto Rico, the Virgin Islands, and Guam. This plan specifies, in terms of general location and type of development, the maximum limits of development considered by the FAA to be necessary to provide a system of public airports adequate to anticipate and meet the needs of civil aeronautics.

Inclusion of a location in the NAP does not, however, commit the United States to include a project in a Federal-aid Airport Program. The local community concerned is not, on the other hand, committed to proceed with planning or development of an airport included in the NAP.

Although the FAA prepares the NAP, the contents are important to each sponsor because the scope of recommended development will affect eligibility in any future project. An airport owner should, therefore, make certain that the FAA area office is completely informed of all local plans and desires for airport development.

- c. Grants (Section 151.43 FAR). The United States' share of costs of an approved project is 50 percent of the allowable costs of the project with certain exceptions. Somewhat higher percentages apply in a State in which unappropriated and unreserved lands and nontaxable Indian lands comprise more than 5 percent of its total land. The share is 75 percent of costs of development to meet some specific landing aid requirements at any location where these landing aids are required and 75 percent of costs of any project in the Virgin Islands.

2. ELIGIBILITY.

- a. Sponsor (Sections 151.23, 151.33, 151.37 FAR). The sponsor must be a public agency such as a State, territory, municipality, or other political subdivision; or a tax-supported organization such as an airport authority or transportation authority. In certain locations an agency of the United States may sponsor a project. Two or more public agencies may cosponsor a project. One public agency such as a State may, when authorized by local law, act as an agent for the public agency that is to own and operate the airport.

The sponsor must have, or be able to obtain, property interests and funds for the sponsor's share of project costs; and be legally, financially, and otherwise able to meet all applicable requirements of the Federal Airport Act and Part 151, FAR.

- b. Project (Section 151.39 FAR). A project for airport development may include only the types of development summarized in Paragraph 2c, must be within the scope of the current National Airport Plan, and must be reasonably necessary to provide a needed airport facility. The FAA may approve a project only if it is reasonably consistent with existing plans of public agencies for the development of the area in which the airport is located and only if the sponsor has given fair consideration to the interest of communities in or near which the project is located.

c. Development.

- (1) Construction (Sections 151.35, 151.93, 151.97 FAR). Eligible work includes construction, improvement, and repair of all or a part of a public airport as well as removing, lowering, relocating, and marking of airport hazards. Work on buildings may be only for those buildings that are to house facilities or activities directly related to safety of persons at the airport. Certain facilities are specifically excluded.
- (2) Land (Section 151.73 FAR). The acquisition of land or any interest in land, or of any easement or other interest in airspace, is eligible if it was made after May 13, 1946. Eligible areas of land include those necessary for eligible construction; for installation or relocation of landing aids by the FAA on airport property; for approach protection; and to allow use, operation and maintenance of the airport as a public facility.

Please read instructions on reverse before completing form.
PRINT or TYPE data requested.

Form Approved: BOB No. 04-R0005

DEPARTMENT OF TRANSPORTATION - FEDERAL AVIATION ADMINISTRATION				1. DATE OF REQUEST August 28, 1969			
REQUEST FOR AID - FEDERAL-AID AIRPORT PROGRAM							
2. SPONSORING AGENCY Jamesville, U. S. A.			3. AIRPORT NAME Jamesville Memorial				
4a. NAME, TITLE, AND TELEPHONE NO., SPONSOR'S REPRESENTATIVE Marshall K. Roman, Code 303-652-2003 Commissioner of Public Works			b. MAILING ADDRESS (No. and Street, City, State, ZIP Code) 901 Riley Blvd. Jamesville, U. S. A. 20144				
5. DESCRIPTION OF WORK TO BE ACCOMPLISHED (List by principal work item) (Use nearest dollar)							
ITEM OF WORK A		TOTAL ESTIMATED COST B	SPONSOR'S FUNDS C	FAAP FUNDS REQUESTED D	ESTIMATED DATE WORK WOULD COMMENCE E		
NO.	DESCRIPTION						
1.	Land Acquisition	\$ 29,000	\$ 14,500	\$ 14,500			
2.	Construct Runway 3300' x 60' stub taxiway & apron 250' x 300 and east taxiway turn- around	189,750	94,875	94,875			
3.	Lighting (Med. Intensity System)	27,000	13,500	13,500			
4.	Install wind cone & segmented circle	4,100	2,050	2,050			
5.	Relocate utilities	4,400	2,200	2,200			
6.	Entrance Road	3,000	1,500	1,500			
7.	Relocate Road	9,000	4,500	4,500			
8.	Fencing (13,500')	13,250	6,625	6,625			
9.	Parallel Taxiway	17,200	8,600	8,600			
TOTALS →		\$296,700	\$148,350	\$148,350			
6. ESTIMATED COST OF WORK ITEMS DESCRIBED IN ITEM 5 ABOVE (Use nearest dollar)							
LIST BY ITEM OF WORK NO. A	LAND ACQUISITION B	SITE PREPARATION C	PAVING D	LIGHTING E	BUILDINGS F	MISCELLA- NEOUS G	TOTAL H
1.	\$29,000						\$ 29,000
2.		\$ 98,000	\$ 91,750				189,750
3.				\$ 27,000			27,000
4.						\$ 4,100	4,100
5.						4,400	4,400
6.		1,640	1,360				3,000
7.						9,000	9,000
8.						13,250	13,250
9.		2,200	15,000				17,200
TOTALS	\$29,000	\$101,840	\$108,110	\$ 27,000		\$ 30,750	\$ 296,700
7. STATUS OF SPONSOR'S FUNDS							
AVAILABILITY DATE A	SOURCE OF FUNDS B			AMOUNT OF FUNDS C	DATE FUNDS EXPIRE D		
On hand	Airport development fund (city)			\$ 18,350	do not		
Jan. 1, 1970	Grant from state aviation agency approved by Director, August 6, 1969			35,000	Dec. 31, 1970		
Jan. 1, 1970	General obligation bond election to be held October 15, 1969			100,000	do not		
(Should be equal to or greater than the total for Item 5(c) above) TOTAL →				\$ 153,350			
8a. SIGNATURE OF SPONSOR'S REPRESENTATIVE /s/ Marshall K. Roman				b. TITLE Commissioner of Public Works			

INSTRUCTIONS

The original and two (2) copies of the request, with supporting papers (continuation sheets, sketches, etc.) attached to each copy, are to be submitted to the FAA Area Office having jurisdiction over the area in which the airport is located.

If more space is required for any item(s) on this form, continue the item(s) on a separate sheet of paper. Continuation items should be identified with the same item numbers used on the form.

Prepare a sketch or sketches of the airport layout and indicate thereon by appropriate legend, the location of each item of work proposed, using the same item numbers as in Item 6 and Item 7. Each sketch is to be the same size as the form and submitted in triplicate (8).

EXPLANATION OF DATA REQUESTED ON THE FORM:

ITEM 1—Enter the date the request is prepared.

ITEM 2—Enter the name of the public agency sponsoring the request.

ITEM 3—Enter the name of the airport.

ITEM 4—Enter the name, title, and address of the official representative of the sponsor with whom further contacts should be made and from whom additional information may be obtained.

ITEM 5—COLUMN A—The proposed development should be listed and described in terms of logical items which will provide for separate and useful units of work. Assign a number to each item of work: (Examples: 1—Construct N/S runway 4,000 ft x 150 ft.; 2—Construct fire and rescue equipment building; 3—Install lights on E/W runway; 4—Acquire clear zones, N/S runway; etc.).

ITEM 5—COLUMN B—Enter the total estimated cost for each item of work, including engineering costs, administrative costs, and contingencies.

ITEM 5—COLUMN C AND D—Distribute the total estimated cost for each item of development as follows: 50% sponsor, 50% Federal. Except for (a) certain installations of landing aids (land for ALS; in-runway lighting; high intensity lights and runway distance markers), in these cases, the Federal participation can be up to 75% (b) projects in the Virgin Islands, Federal funds 75%; and (c) projects in public land states where the Federal percentage varies, consult the FAA Area Office for exact percentage for any doubtful items.

ITEM 5—COLUMN E—Enter the date on which it is estimated that you will be prepared to finance and undertake each item of work to be performed if Federal funds are made available.

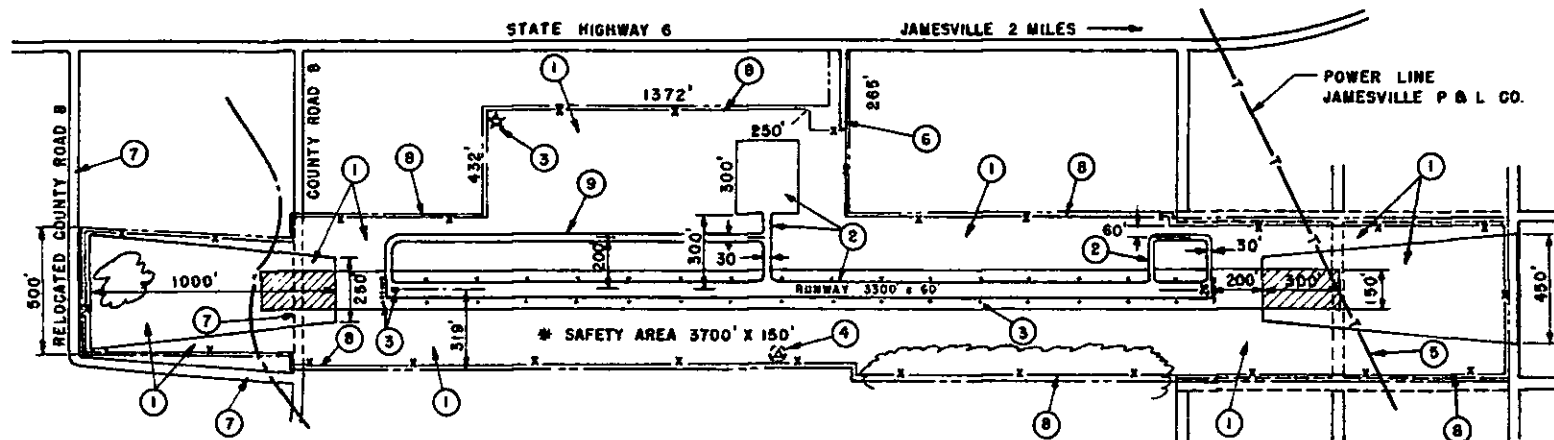
ITEM 6—Summarize the total costs involved for each item of work described in Item 5 according to the following categorical items of: Land; Site preparation (includes but not limited to such work as clearing, grubbing, grading, drainage, etc.); Paving; Lighting; Buildings; and Miscellaneous.

To identify the item of work being summarized list in Column (a) the item of work number assigned the same item of work in Item 6, Col. (a).

ITEM 7—Enter first the amount of funds the sponsor now has on hand and available for airport development. Next, enter by year and approximate month of the year the amount of funds the sponsor will have or anticipates having for airport development during that year. The source of all funds including Federal funds from other agencies should be shown, such as the Appalachian Regional Commission or the Economic Development Administration. Enter expiration date (if any) for each Fund item.

ITEM 8A—All copies of the request submitted to the FAA Area Office must be signed by an authorized representative of the sponsoring public agency.

ITEM 8B—Enter the title of the sponsor's authorized representative signing the request.



PLAN

* FORMERLY DESIGNATED AS THE LANDING STRIP



KIND OF AIRPORT: BASIC UTILITY

WORK ITEMS IN PROJECT REQUEST:

- RED 1. LAND ACQUISITION.
- BLUE 2. CONSTRUCT RUNWAY, TAXIWAY, APRON AND TURNAROUND.
- BLACK 3. MEDIUM INTENSITY LIGHTING SYSTEM WITH BEACON.
- ORANGE 4. WIND CONE & SEGMENTED CIRCLE.
- BROWN 5. RELOCATE POWER LINE.
- BLUE 6. ACCESS ROAD.
- GREEN 7. RELOCATE COUNTY ROAD
- BLACK 8. FENCING
- ORANGE 9. PARALLEL TAXIWAY

LEGEND

- PROPERTY LINE
- BLUE PAVING & MARKING
- X—X FENCING
- ☆ BEACON
- • • MEDIUM INTENSITY LIGHTS
- T— POWER LINE
- ⊙ WIND CONE & SEG. CIRCLE
- ▭ EXISTING ROAD
- STREAM
- ▨ EXTENDED SAFETY AREA

Identify work items by the numbers used on FAA Form 5100-3. Although this sketch will not show all the features of a topographic survey, identify each existing feature that will affect the project; roads, pole lines, obstructions etc. Distinguish existing airport development from the development proposed in the project. Show boundaries of presently owned land and of each area of land to be acquired. If the one sketch does not adequately illustrate the Request for Aid, attach supplemental sketches to show more detail of applicable portions.

JAMESVILLE MEMORIAL AIRPORT
JAMESVILLE, U.S.A.

SKETCH TO SUPPORT
FAA FORM 5100-3
F.A.A.P. PROJECT _____
JULY 10, 1969

FIGURE 2-1. SKETCH TO ACCOMPANY FAA FORM 5100-3

Supporting Information for FAA Form 5100-3

Note: This type of information is necessary but this exact format is not required.

TOTALS

Item 1. Land.

For Airport Development.

* 32 acres, west portion of landing area @ \$300	\$9,600
14 acres administrative area @ \$750	10,500
½ acre for entrance road lump sum	600
6 acres east portion of landing area @ \$300	1,800

For Clear Zones.

12 acres, in fee, east clear zone @ \$250	3,000
9 acres, in fee, west clear zone @ \$250	2,250

Surveys and Fees.

1,250

Total Land

\$29,000 Land

Item 2. Runway, Taxiway, Apron, Turnaround.

Site Preparation.

Excav. 55,000 c.y. @ \$0.95	\$52,250
Borrow 12,000 c.y. @ \$0.90	10,800
Clear and grub lump sum	5,500
CGM pipe 350' @ \$6.00	2,100
Headwalls 3 @ \$650	1,950
Catch Basins 3 @ \$900	2,700
Seeding 18 acres @ \$350	6,300
Engineering	8,160
Contingencies and Administrative	8,240

Total Site Preparation

\$98,000 Site Preparation

Paving.

33,700 S.Y. @ \$2.25	\$75,825
Engineering	7,585
Contingencies and Administrative	8,340

Total Paving

\$91,750 *
Paving

* Item 3. Medium Intensity Lighting. \$16,500	Vault 4,000	
Rotating Beacon 4,500		
Engineering \$1000		
Contingencies \$1000		\$27,000
		Lighting
Item 4. Wind Cone, Segmented Circle		
Lump sum \$3,500		
Engineering \$300		
Contingencies \$300		4,100 Miscel- laneous
Item 5. Relocate Utilities.		
Lump sum \$3,650		
Contingencies \$750		4,400 Miscel- laneous
Item 6. Entrance Road.		
Site Preparation clear and grub \$250		
Excav. \$740, Culvert \$240, Seeding \$150		
Engineering and Contingencies \$260		1,640 Site preparation
Paving 600 s.y. @ \$2.10 \$1,260, Engineering and Contingencies \$100		1,360 Paving
Item 7. Relocate County Road.		
Grade and resurface to relocate beyond clear zone. Lump sum \$7,400		
Engineering and Contingencies \$1,600		9,000 Miscel- laneous
Item 8. Fencing		
13,500 l.f. around airport property @ \$0.90, \$12,150		
Engineering and Contingencies \$1,100		13,250 Miscel- laneous
Item 9. Parallel Taxiway.		
Site Preparation (Grading in Item 2		
Selected borrow 2000 c.y. @ \$0.90, \$1,800		
Engineering and Contingencies 400		2,200 Site Preparation
Paving.		
5675 s.y. @ \$2.25, \$12,769		
Engineering and Contingencies \$2,231		15,000 Paving *

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- d. Engineering and Administrative Costs (Section 151.41(a) FAR). Eligible costs include engineering and administrative costs incurred specifically in connection with a project, that would not have otherwise been incurred.

3. CHRONOLOGICAL STEPS IN PROCESSING. The major actions taken by the sponsor and the FAA in processing a project under FAAP are:

SPONSORFEDERAL AVIATION ADMINISTRATION

- (a) Submits Request for Aid. (Section 151.21 FAR).

- (b) Notifies sponsor of tentative allocation of Federal funds for the proposed project. (Section 151.21 FAR.)

- (c) Prepares time schedule for remaining steps to complete project.
Prepares or revises airport layout plan, if required, and obtains FAA approval.
Finances sponsor share of project funds.
Acquires land, if required.
Prepares plans and specifications.
Coordinates project with planning agencies.
Submits Project Application.
(Sections 151.21 and 151.27 FAR.)

- (d) Approves plans and specifications before advertisement for bids. (Section 151.47 FAR.)

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- (e) Advertises and receives bids. Selects contractor. Requests FAA concurrence in award of contract. (Section 151.45 FAR.)
- (f) Approves Project Application. Issues Grant Offer. (Section 151.29 FAR.)
- (g) Concurs in award of contract. (Section 151.45 FAR.)
- (h) Accepts Grant Offer which, on acceptance by the sponsor, constitutes a Grant Agreement. (Section 151.31 FAR.)
- (i) Determines sufficiency of execution of Grant Agreement. (Section 151.31 FAR.)
- (j) Executes construction contract. Furnishes conformed copies to the FAA. (Section 151.45 FAR.)
- (k) Agrees to issuance of a notice to proceed to the contractor. (Section 151.45 FAR.)
- (l) Conducts preconstruction conference with contractor and the FAA. Issues notice to proceed to contractor. (Section 151.45 FAR.)
- (m) Supervises construction work.

SPONSOR

FEDERAL AVIATION ADMINISTRATION

(n) Inspects construction.

(o) Applies for partial grant payments of Federal funds. (Sections 151.57, 151.61 FAR.)

(p) Makes partial grant payments. (Sections 151.61 FAR.)

(q) Completes construction as required. (Sections 151.45, 151.49, 151.53, and 151.54 FAR.)

(r) Make final inspection of construction. (Section 151.63 FAR.)

(s) Applies for final grant payment. Submits as constructed plans. (Section 151.63 FAR.)

(t) Audits project costs. Makes final grant payment. (Section 151.63 FAR.)

*4. FAA ASSISTANCE TO SPONSORS. Dependent upon the sponsors location, FAA District, Area, or Regional Offices are the first points of contact to obtain assistance in the program. In New York City, New York, Atlanta, Georgia, Fort Worth, Texas, Kansas City, Missouri and Los Angeles, California, the Regional Offices should be consulted since they have absorbed former Area Offices. In Anchorage, Alaska, and Honolulu, Hawaii, the Regional Office is also the place of contact. Agency personnel can explain needs for the national system of airports, requirements of regulations, the criteria for evaluating a Request for Aid; and they also provide detailed help in each step of processing, starting with the Request for Aid. See Appendix 6-4 for addresses of these offices. *

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BIBLIOGRAPHY

Advisory circulars listed in this bibliography bear basic numbers that identify them for ordering. If there has been a change in the original circular, it will be furnished with the basic circular. If there is an entire revision, the revision bearing a letter suffix to the basic number will be furnished.

This bibliography lists the circulars with greatest general application. For a complete list of advisory circulars published by the Federal Aviation Administration, see Advisory Circular 00-2 which is published in the Federal Register. This list contains a brief description of all FAA circulars published on "Airports," many of which relate specifically to the program.

For the following advisory circulars available without charge, write to the Department of Transportation, Distribution Unit, TAD-484.3, Washington, D. C. 20590.

- | | | | |
|---|--------------|---|---|
| * | 150/5060-1A | Airport Capacity Criteria Used in Preparing the National Airport Plan. | * |
| | 150/5060-2 | Airport Site Selection. | |
| | 150/5090-1 | Regional Air Carrier Airport Planning. | |
| | 150/5100-4 | Airport Advance Planning. | |
| | 150/5300-2 | Airport Design Requirements for Terminal Navigational Aids. | |
| * | 150/5300-4A | Utility Airports - Air Access to National Transportation. | |
| | 150/5320-6A | Airport Paving. | |
| | 150/5325-2A | Airport Surface Areas Gradient Standards. | * |
| | 150/5325-4 | Runway Length Requirements for Airport Design. | |
| * | 150/5325-5A | Aircraft Data. | |
| | 150/5330-2A | Runway/Taxiway Widths and Clearances for Airline Airports. | * |
| | 150/5330-3 | Wind Effect on Runway Orientation. | |
| | 150/5335-1 | Airport Taxiways. | |
| | 150/5335-2 | Airport Aprons. | |
| * | 150/5340-1B | Marking of Serviceable Runways and Taxiways. | |
| | 150/5340-4A | Installation Details for Runway Centerline and Touchdown Zone Lighting Systems. | * |
| | 150/5340-5 | Segmented Circle Airport Marker System. | |
| * | 150/5340-13A | High Intensity Runway Lighting System. | * |
| | 150/5340-14A | Economy Approach Lighting Aids. | |
| | 150/5340-15A | Taxiway Edge Lighting System. | |
| | 150/5340-16A | Medium Intensity Runway Lighting System. | * |
| | 150/5370-2 | Safety on Airports During Construction Activity. | |

Order the following publications from the Superintendent of Documents,
U. S. Government Printing Office, Washington, D. C. 20402.

150/5370-1A	Standard Specification for Construction of Airports (1968).	\$3.50
150/5320-5A	Airport Drainage (1966).	\$0.45

CHAPTER 2.

REQUEST FOR AID

THE ANNUAL FEDERAL-AID AIRPORT PROGRAM

5. INITIATION OF ANNUAL PROGRAM. In order to conform to the requirement of Section 4(b) of the Federal Airport Act (49 USC 1101-1120) for announcement of an annual program, the FAA announces a date for receipt of Requests for Aid for each annual program. A press release publicizes this date. In addition, the FAA area offices notify the public agencies who own the airports shown by the National Airport Plan as requiring development.

A public agency may submit a Request for Aid between annual programs. The FAA may change an annual program by adding a project. Historically, however, most of the available funds are allocated when the annual program is developed. Availability of funds is, therefore, a major consideration in processing requests between programs.

6. SUBMISSION OF A REQUEST FOR AID (SECTION 151.21 FAR).

- a. Sponsor Progress Prior to Filing a Request. A major factor leading to favorable action on a Request for Aid is sufficient prior planning to assure a firm project. In addition to plans for financing, the development of an airport layout plan, at least in preliminary form, will reflect a realistic intent to proceed with airport development. If a new airport is proposed, the site should be selected before submitting a Request for Aid (See Advisory Circular 150/5060-2). Prior planning should also include thorough study of the possibility of one airport serving more than one community. (See Advisory Circular 150/5090-1.)

Although the FAA does not require that prior planning be done under the advance planning and engineering program (See Subpart D of 151 FAR, and Advisory Circular 150/5100-4), sponsors may use that program as preparation for a development project.

- b. Significance of a Request for Aid. The submission of a request does not establish a contract between the sponsor and the Federal Government.

Nevertheless, the FAA depends upon the requests as representing proposed projects that can be financed and that will be undertaken promptly if Federal funds are allocated. The sponsor's representative signing a Request for Aid should, therefore, assure himself that the information submitted reflects realistic plans and intentions. Otherwise, an allocation may be made and later withdrawn, thus

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delaying use of the Federal funds at another location.

- c. Preparation of the Request for Aid Form. (FAA Form 5100-3.) The form used for each proposed project is a Request for Aid - Federal-aid Airport Program. (See Appendix 2-1.) The explanation on the back of the form will assist in its correct completion. The FAA area offices can furnish additional explanation and advice about the completion of the form and supporting material. They can be particularly helpful in separating work (Items 5 and 6) into development items that FAA evaluates individually.
- d. Supporting Information. A part of each request is information to clarify the entries on FAA Form 5100-3 and assure the accuracy of estimated costs. The required accuracy can be obtained only by means of a reasonable amount of preliminary engineering. Costs for this engineering, unless previously included in an Advance Planning Agreement, may be included as project costs in the development project.
- (1) Sketch. The sketch required by the instructions on the back of FAA Form 5100-3 is illustrated by Figure 2-1. See further instructions on Figure 2-1.
 - (2) Estimates. Estimates, illustrated in Appendix 2-1 should provide the basis for the "Total Estimated Cost" (Item 5B on the form). The items of work are the individual development items including all incidental costs. Engineering and administrative costs are not development items and must, therefore, be computed and included in the total estimated cost for each item of work.
 - (3) Other Information. It is not necessary to accompany a request with a lengthy narrative. A sponsor may, however, anticipate questions that may arise in processing a Request for Aid and furnish explanations to answer these questions. One such question is the certainty of sponsor funds when funds depend on a bond election. In other instances, some of the development items may be more urgently needed than others so that the sponsor may wish to explain the proposed timing of development.
- e. Transmittal to FAA. Instructions on the back of FAA Form 5100-3 direct that the original and two copies be submitted to the appropriate FAA area office. The requirement is for the number of copies that the FAA area office must receive. In some states sponsors are required to submit Requests for Aid through state aviation agencies. In other states the state aviation agencies may

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actually prepare the material. Each sponsor should, therefore, follow the procedures effective in his state.

7. FAA PROCEDURES IN DEVELOPMENT OF THE ANNUAL PROGRAM (151.21 FAR).

- a. Acknowledgement of Receipt of Requests. The FAA Area Office will acknowledge receipt of each Request for Aid. The recognition of receipt is assurance that the FAA will review and consider the request. The agency takes final action on the request only after formulation of the entire national annual program. (See paragraph 7c and d.) The letter acknowledging receipt cannot, therefore, provide information about final action.
- b. Agency Review. The FAA makes a detailed review of each Request for Aid. The review includes a verification of eligibility of the proposed work items, the need for these items, and the urgency for development at the specific airport. Reviewers assign a priority to each eligible item shown on the request. The assigned priority is a rating that recognizes both the need and urgency at the airport as well as a comparison with other airports in the national system with respect to type and extent of use.
- c. Formulation of the Program. The FAA prepares the complete annual program for the entire Nation by comparison of costs of work items with available funds. Historically, the amount requested far exceeds the amount available. The procedure, therefore, requires the omission from the program of some projects and requested work that may be desirable but that has a lower priority than the projects or work that have been included in the program.
- d. Allocations for Specific Projects. Promptly after approval of the annual program the FAA regional or Area Office notifies each public agency by letter of the action taken on its Request for Aid. If a requested project or portion of a project is omitted from the program, the FAA gives the reasons for the omission. A letter that gives notice of an allocation is a firm reservation of Federal funds conditioned only on the sponsor's promptness in proceeding with development of the project.

8. CHANGES IN THE ANNUAL PROGRAM (SECTION 4(a), FEDERAL AIRPORT ACT). A project as developed must be within the scope of work items covered by the allocation. Minor adjustments in estimated costs of individual work items may be necessary after final engineering work and land acquisition has been completed. Changes in the scope of work or changes that require increased Federal funds require FAA concurrence. *

A sponsor should request the FAA area office to make a program change at the stage of project development when the need for a change becomes evident. A request sent to FAA after plans and specifications are in an advanced stage may cause delay in processing the Project Application and may, in case of agency funding problems, result in denial of the request.

CHAPTER 3. PROJECT DEVELOPMENT

- * 9. SCHEDULE OF PROJECT DEVELOPMENT. Promptly after receiving an allocation, the sponsor should plan for completion of each of the steps necessary to complete the project. The Chronological Steps in Processing (Paragraph 3) may serve as a framework for a flow chart which sets realistic completion dates to assure continuing progress. The schedule, whether or not in the form of a flow chart, will serve as a basis for FAA consideration of progress in project development. The FAA may withdraw an allocation if the sponsor does not meet scheduled dates for project development.
10. PROJECT ENGINEERING. The sponsor is responsible for all project engineering, including preparation of plans and specifications. He is also responsible for construction supervision, inspections, and tests which are necessary to assure conformance with these plans and specifications.
- a. FAA Advisory Services. As soon as the letters of tentative allocation are issued, the area offices will set a date to meet with the sponsors to explain the services available in the development of the project. These services include such items as engineering guidance and advice on available standards, design, plans, specifications, and airport layout plan. In addition, the sponsor will be briefed on the FAA involvement in the project and what concurrences and approvals are required in the orderly process of the project.
- b. Supervision and Inspection by Sponsors. The FAA must assure and be assured that all construction is accomplished strictly in accordance with the FAA approved plans and specifications. Accordingly, the FAA requires the sponsor to provide adequate, competent, and satisfactory construction supervision and inspection during all stages of the work (FAR 151.45f). The FAA will advise sponsors of this requirement before the sponsor contracts for engineering services.
- (1) FAA Determination. In appropriate cases, the responsible FAA office may determine that the sponsor has previously demonstrated satisfactory engineering and construction supervision and inspection and will so advise the sponsor in writing.

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- * (2) Sponsor's Determination. In all other cases, the sponsor shall be required to notify the FAA in writing that engineering and construction supervision and inspection have been arranged to assure that construction will conform to FAA approved plans and specifications, and that the sponsor has caused a review to be made of the qualifications of personnel who will be performing such supervision and inspection and is satisfied that they are qualified to do so.
- (3) Start of Construction Work. The FAA shall not authorize the issuance of a notice to proceed and the sponsor shall not allow a contractor or subcontractor to begin work until either the sponsor is advised by FAA of its previous demonstration of satisfactory engineering, supervision, and inspection of the written assurance (per the preceeding paragraph) has been made a part of the project records.
- (4) Qualifying Standards. It is appropriate for the sponsor to consider the following items in determining the qualifications of supervisory and inspection personnel:
- (a) Previous experience in the type of work to be done.
 - (b) Knowledge of equipment to be used.
 - (c) Familiarity with testing requirements, procedures, and equipment.
 - (d) Other concurrent responsibilities; i.e., other jobs.
 - (e) Personal behavior patterns.
 - (f) Supervisory experience.
- c. Enforcement. Where an inspection reveals the sponsor is not providing satisfactory supervision and inspection of the construction, the sponsor will be immediately advised that more adequate and satisfactory supervision of construction is necessary under the grant agreement. In most cases, consultation with the sponsor and its engineers will adjust such matters. If this fails, however, the sponsor will be immediately advised that project payments will be suspended until adequate supervision and inspection is provided to assure construction in accordance with approved plans and specifications.
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- * d. Engineering Agreement. Engineering services may be provided by the sponsor's own personnel, by its agent, or through contract with a qualified engineer or engineering firm. If the sponsor engages the services of an engineering firm, the engineering agreement becomes the basis for FAA determination of adequate engineering arrangements and reasonable costs. To assure that the engineering agreement meets the FAA requirements for the project, the FAA requires the sponsor to send a draft of the proposed agreement to the FAA area office. The FAA area office will review the agreement in terms of project requirements; and, upon the sponsor's request, the FAA will compare the sponsor's proposed engineering cost with those for similar projects. *

The agency does not require a particular format for an engineering agreement but recommends inclusion of the following provisions:

- (1) Effective date of agreement.
- (2) Names, descriptions, and addresses of the parties to the agreement.
- (3) Nature, extent, character, and location of the project.
- (4) Any or all of the following services to be rendered by the engineer:

- * (a) Engineering surveys for the development of a new or revised airport layout plan, including predesign topographic and soil surveys, related tests including those tests of existing pavement that may be necessary to determine extent of pavement improvement, and cost estimates with evaluations and recommendations for stages of construction or alternative designs. In case of site selection, engineering may include reconnaissance and comparison of alternate sites from standpoint of optimum runway orientation and development cost comparison. *

- (b) Preparing plans and specifications including necessary surveys additional to those for the airport layout plan, soil investigations, and preliminary testing of construction materials.

- * (c) Preparing detailed cost estimates. *

- (d) Preparing construction contract documents.

- (e) Furnishing the sponsor with the specified number of plans, specifications, contract documents, and engineering reports of design analyses and basic computations for the work.
 - (f) Assisting with bid openings, bid analysis, contract negotiations, and award of contract.
 - (g) Consulting and advising during construction, including necessary activities associated with changed field conditions.
 - (h) Furnishing resident supervision and inspection required to control construction and to assure conformity to plans and specifications. This includes establishment of lines and grades, field and laboratory inspection and testing required by the specifications, surveys necessary to determine quantities, and all equipment and personnel required for this work.
 - (i) Furnishing "as constructed" plans after completion of the project.
- (5) Compensation for services rendered by the engineering firm, including manner of payment. This should be specific enough for identification during audit.
 - (6) Additional compensation for redesign, change of scope, or delays causing expense to the engineer after required approvals.
 - (7) Progress schedule showing agreed dates for completion of engineering work.
 - (8) Termination of agreement.

- * e. Conformance to FAA Standards. (Sections 151.71, 151.72, and 151.99 FAR.) Design and construction must conform to FAA standards in effect at the time of allocation of FAAP funds for the project. Design and construction standards are published in the form of advisory circulars. A bibliography of the circulars with the greatest general application is in Appendix 1-1. FAA representatives will assist a sponsor's engineer in selecting the design standards applicable to a specific project and the standard specifications including the portions of Advisory Circular 150/5370-1A, Standard Specifications for Construction of Airports, that should be given attention in the project. *

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FAA approved modification of a standard may be obtained when necessary to adapt to local conditions, if the FAA determines the modification will provide an acceptable level of safety, economy, durability and workmanship.

- f. Airport Layout Plan (Section 151.5 FAR). A current airport layout plan, approved by the FAA, is required for airport development under the FAAP program. The revision of an obsolete airport layout plan or preparation of a new airport layout plan, as appropriate, should, therefore, precede the preparation of project plans. Advisory Circular 150/5310-2, Airport Planning and Airport Layout Plans, provides guidance on this subject.
- g. Pavement Design. Advisory Circular 150/5320-6A, Airport Paving, contains the FAA recommended method of pavement design and explains soil investigations that are necessary to allow this design. The engineer should, before proceeding with preparation of plans and specifications for paving, make the required soil investigations, determine the pavement design, and obtain FAA approval of the design. FAA Form 5100-1, Airport Pavement Design (Appendix 3-1) should be submitted to FAA to permit review and approval.
- h. Progress Reviews by FAA. Because plans and specifications are subject to FAA approval, a sponsor's engineers commonly request reviews while these documents are in early stages of preparation. This procedure avoids unnecessary revisions of the documents in advanced stages. The FAA area offices will comment on all or any part of the plans and specifications submitted for preliminary review. FAA representatives also consult with the sponsor's engineers while plans and specifications are being prepared.
- i. Contract Provisions. (Sections 151.47, 151.49, 151.53 and 151.54 FAR.) Advisory Circular 150/5370-1A contains not only construction requirements for specific items but also "General Provisions" applicable to a construction contract. Most engineers prefer to incorporate this publication by reference and to include special provisions that, among other things, designate choices within the standards and modifications as applicable. A publication incorporated by reference should be made available to prospective bidders. The engineer needs, then, to prepare an entire specification only for a construction item not covered by a referenced standard. Applicable clauses on labor and equal employment opportunity and a schedule of minimum wage rates are to be included in special provisions or

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elsewhere in the contract. Sponsors should request current applicable material from the FAA Area Office before writing construction specifications in order that all mandatory language is included and that all provisions and schedules are current. (See paragraphs 13 and 14 for additional information on labor, equal employment opportunity, and wage rate requirements.)

Contract documents related to project specifications include the proposed Invitation for Bids, Proposal, and Construction Contract. FAA has no required format for these documents. The engineer should, however, submit the documents with the plans and specifications.

- j. Engineer's Report. A general analysis of a project, the reasons for design choices or modification of standards, and the engineer's detailed estimates are necessary bases for FAA review and approval of project plans and specifications. The engineer has his choice of format but should provide the following information.

- (1) Design Computations. The report should include a summary of computations as a basis for design of major development items. FAA Form 5100-1 is usually adequate for pavement thickness design conforming to FAA standards. A summary of computations and a description of method will support requirements for drainage structures. The engineer need not submit earthwork cross sections or mathematical details for designs unless requested but should have them available for review by FAA representatives.
- (2) Reasons for Selections and Modifications. The engineer's choices and recommended modifications will, in most cases, be influenced by service records for comparable construction and by cost comparisons.

Even though the FAA will have discussed choices and modifications during progress reviews, the project record should include concise statements and cost comparisons that justify these selections and modifications.

- * (3) Other Elements. The engineer should outline work to be done without FAAP assistance, how it is to be accomplished, and its relationship to FAAP work. Also, work to be done by utility companies should be described together with sources of estimate for such work. *

Material sources or water available for construction may affect design choices or bid items, therefore, the impact of such elements should be explained.

- (4) Engineer's Estimate. The engineer should support his itemized estimate with source information and with an explanation of any unique circumstances that may influence adjustment of prevailing prices.
- k. FAA Approval (Sections 151.41(c)(2), 151.47(b), and 151.51(a)(1) FAR). A sponsor may not advertise for bids on a construction contract or negotiate a contract until the FAA has approved the plans and specifications for the contract. The same approval is necessary for plans and specifications for force account work. The engineer should, prior to submission of plans and specifications to the FAA, obtain approval of any other officials in order to assure conformance to state and local requirements. In addition to sets of plans retained by the FAA, the FAA Area Manager or his representative will sign approved sets as appropriate for the engineer, the sponsor, and any other officials to meet state and local requirements.

FAA approval will be based on determinations that the plans and specifications conform with mandatory standards (or standards appropriately modified), include all prescribed clauses mandatory by Federal Aviation Regulations, and show reasonable costs.

1. Relationship to Time of Project Application, Grant Offer, and Grant Agreement (Sections 151.27 and 151.47 FAR). Except in special authorized cases, final plans and specifications are incorporated in the Project Application by reference.

A sponsor may also submit final plans and specifications themselves with the Project Application. In fact, the FAA prefers the sponsor to submit final plans and specifications in advance of the Project Application so that processing of the application will not be delayed by review of plans and specifications.

The sponsor's advertising for bids may be made at any time after FAA approval of plans and specifications. This procedure allows the sponsor to proceed with bidding procedures during the time that the FAA is processing the Project Application and issuing, or preparing to issue, a Grant Offer.

11. PROPERTY INTERESTS AND LAND ACQUISITION (SECTION 151.25 FAR). A sponsor must state, in the Project Application, the property interests that he holds in land to be used as a part of, or in connection with, the airport as it will be when the project is completed. The property interest must be a fee title free and clear, as described in Section 151.25(c)(1); a lease of not less than 20 years from another public agency having title to the property; or, in case of an off-site area, an agreement, easement, leasehold, or other right or property interests that, in the Administrator's opinion, reasonably assures use of the land for the sponsor's intended purpose.

The sponsor should undertake the preparation of title evidence for presently owned land and the acquisition of additional land interests as soon as possible after notice of allocation of funds for a project. Early submission of title evidence assists in avoiding delays in construction or grant payments.

12. METHODS OF ACCOMPLISHING CONSTRUCTION WORK (SECTIONS 151.45 and 151.47(a) FAR). Construction work must be performed under contract unless the FAA determines that the project, or any part of it, can be more effectively and economically accomplished on a force account basis by the sponsor or by another public agency acting for or as agent for the sponsor. Each contract must meet requirements of local law. Each contract in the amount of more than \$2,000 must be awarded on the basis of public advertising and open competitive bidding unless the FAA approves another method. The requirement for advertising and competitive bidding does not, however, apply to contracts with owners of airport hazards--buildings, pipe lines, power lines or other structures or facilities for installing, extending, changing, removing, or relocating that structure or facility. Specific contract requirements are discussed in paragraphs 13 and 14.
- a. Sponsor Force Account (Section 151.54 FAR). Sponsor force account work is construction that is accomplished by direct purchase of materials, use of equipment owned or rented by the sponsor or other public agency performing the work and use of sponsor's labor and supervisory personnel. An agreement between the sponsor and another * public agency to perform force account work is not considered a contract and is not subject to contract requirements of Section 151.47 FAR. Any agreement for accomplishing work other than on a force account basis is, however, a contract that must meet contract requirements.
- (1) Nature of Force Account Projects. A project, or any part of a project, accomplished by force account must meet the same engineering and construction standards that are required for contract construction. The FAA will apply the same requirements in review of plans and specifications and in conducting

construction inspections. A major difference between force account and contract accomplishment is the degree of detail in the FAA audit of project costs. The sponsor of force account construction must keep meticulous records of costs of materials, hourly operation of equipment, payrolls, and all other costs to avoid disallowance of costs that the FAA auditor cannot verify.

- (2) FAA Consent. A sponsor must obtain FAA written consent before undertaking force account construction. Although the FAA will give consent only after final approval of the plans and specifications, a sponsor is urged to submit advance information of the proposed force account construction as soon as possible. The FAA will consider the circumstances requiring the force account method and the cost comparison between the two methods. The sponsor must submit, therefore, a justification for the force account method and an engineer's cost estimate for contract construction, together with the following information:
 - (a) Adequate plans and specifications showing the nature and extent of the construction work to be performed under the force account method;
 - (b) A schedule of the proposed construction and list of equipment available for the project;
 - (c) A statement assuring adequate labor, materials, and equipment, along with assurance of engineering and inspection personnel;
 - (d) A detailed itemized cost estimate of each class of cost involved such as labor, materials, equipment rental value, and other pertinent items of cost.

b. Negotiated Contracts (Sections 151.45(d) and 151.47(a) FAR).

- (1) Minor Development Items. On minor construction items, the sponsor may realize substantial savings by directly contracting with the firm that will do the work. For example, a sponsor may contract with a local firm or individual for seeding rather than including this item in the larger prime contract.
- (2) Contracts Over \$2,000. The sponsor may award a contract of over \$2,000 on the basis of negotiation only if the FAA has given prior approval to this method of contracting.

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- (3) Owner Removal Contracts. Another type of contract, commonly termed "owner removal contract", requires removal of an airport hazard by an owner other than the sponsor. (See opening Paragraph 12.) Removal of a hazard owned by the sponsor is one of the other methods described in that paragraph. If an owner is obligated to perform the removal without reimbursement by the sponsor, the cost of the removal is not an allowable project cost.

13. LABOR PROVISIONS.

- a. Minimum Wage Rates (Section 151.47 FAR). Unless the contract is for \$2,000 or less or the contract is an "owner removal contract", there may be no advertisement for bids or negotiation until the FAA has furnished the sponsor with a copy of a decision of the Secretary of Labor establishing minimum wage rates for skilled and unskilled labor under the proposed contract. Engineers commonly
- * include the schedules in Project Specifications (See Paragraph 101). *

The Department of Labor issues, for some areas, determinations that are termed "area decisions." These are generally on a countywide basis and normally contain minimum wage rates for all trades and crafts used in airport construction. If the airport is not located in an area covered by an area decision, the FAA Area Office assists in obtaining a decision for the specific project.

Sponsors should give particular attention to currency and adequacy of wage decisions.

- (1) Currency. Each decision has an effective date and an expiration date. A contract must incorporate a current decision. It is, therefore, important that the sponsor keep the FAA Area Office informed of currently proposed dates for receipt of bids and for award of a contract. Only with this information can the FAA Area Office furnish a decision that will be current and thus allow award.
- (2) Adequacy. Immediately upon receipt of a decision, the sponsor should review it to assure that it provides rates for all trades and crafts anticipated and that there are no problems with the rates. If there are missing rates or problems, the sponsor should promptly notify the FAA Area Office.

- b. Required Labor Provisions in Contracts (Section 151.49, and Part 151 Appendix H, FAR). Except for owner removal contracts, each sponsor entering into a construction contract of more than \$2,000 must insert all prescribed specific provisions with respect to labor and payments to laborers. Some of the provisions are not required for prime contracts of \$2,000 or less. As indicated in Paragraph 101, the most satisfactory manner of determining provisions* required for each proposed project is to request current provisions from the FAA Area Office.
14. EQUAL EMPLOYMENT OPPORTUNITY REQUIREMENTS (Section 151.54 FAR). Except for owner removal contracts the sponsor must, in each contract of \$10,000 or more, include specific clauses prohibiting discrimination in labor practices because of race, color, religion, or national origin. As in the case of other labor provisions, the FAA Area Office will furnish clauses required for each contract.
15. RELATIONSHIP OF PROJECT TO AREA PLANS (Section 151.39(a)(4) and (5) FAR).
- a. Requirement for Review by Planning Agencies and Local Governments. The FAA may approve a project only if satisfied that the project is reasonably consistent with existing plans of public agencies for development of the area in which the airport is located; and that fair consideration has been given to the interest of communities in or near which the project is located. In addition to these requirements which carry out provisions of the Federal Airport Act, Section 204 of the Demonstration Cities and Metropolitan Development Act contains similar provisions. A related requirement is Section 4 (f) of the Department of Transportation Act that concerns the use of land from public parks or other specified sites.
- These laws provide for review and comments by planning agencies or units of local government authority.
- b. Sponsor Actions Prior to Project Development. Review by planning agencies and local governments should be completed by the time of submission of the Project Application. Prior coordination of planned development will, however, expedite reviews at this stage and help to avoid problems and need for revisions. Many sponsors

will have participated in development of area comprehensive plans. In the case of a new airport site, the coordination during site selection will result in comments applicable to the project. One of the best actions that will, in effect, comprise a preliminary review of a project is coordination of the airport layout plan.

- c. Submitting Projects for Review. Projects that must be reviewed are those involving construction of a new airport or improvement of an existing airport that would have a substantial environmental effect on the surrounding area. Improvements that have a substantial environmental effect include extension of the airport area, relocation or extension of an existing runway, or other development that is intended to substantially increase airport capacity, change type of operations, or alter flight patterns. If, after a project has been reviewed, the sponsor makes changes that would alter the environmental effect, he should submit the changes for similar review. Documentation for the review agency or unit of general local government will vary with the stage of development and complexity of the proposed development. The information should, in any case, allow an evaluation of the effect of the project on other area planning programs and on the relationship of the airport to the orderly development of the area.
- (1) Projects in Areas with an Areawide Agency Designated by the Bureau of the Budget. The Bureau of the Budget has designated areawide agencies authorized to engage in planning for designated urban areas. Any sponsor of a project in a designated area should submit the project for review by the appropriate agency. If the sponsor is a special purpose unit of local government, such as an airport authority or port authority, he should also submit the project to the unit of local government in which he has or proposes to acquire property interests.
- (2) Other Areas. If the project is not in an area for which the Bureau of the Budget has designated a review agency, the sponsor should submit the project to each municipality or other political subdivision that is in a location where land use and operation of the airport should be compatible. He should also submit the project to each planning agency responsible for planning in the area such as a planning agency responsible for one or a group of political subdivisions in the area, a state or Federal agency responsible for transportation planning, or an organizational component of a political subdivision that is responsible for planning.

- d. Use of Land from Public Parks, etc. Section 4(f) of the Department of Transportation Act allows approval of a project that requires use of any land from a public park, recreation area, wildlife or waterfowl refuge, or historic site only if there is no feasible and prudent alternative to the use of such land and the project includes all possible planning to minimize harm to the area or site resulting from such use.

Other review procedures or negotiations for land should, in most instances, result in information to allow a determination on the use of the affected land. The sponsor need not, for the purpose of satisfying the requirements of this section, solicit separate comments from the same review agencies.

In the event that prior coordination and reviews have not obtained the views of the public agency controlling the affected land, the sponsor should submit the project for review by that agency.

[illegible]

[illegible]

CHAPTER 4. PROJECT APPLICATION - GRANT AGREEMENT

16. PROJECT APPLICATION FAA FORM 1624. (Sections 151.21 thru 151.27 FAR.)
The Project Application, complete with supporting documents, becomes a part of the Grant Agreement. It, therefore, establishes the project record that serves as the basis for expenditure of Federal funds. For this reason, the Project Application must be complete. A sponsor must use FAA Form 1624, Project Application, without changing the language of the form unless the change is approved in advance by FAA.

Appendix 4-1 contains instructions for completing FAA Form 1624.

- a. Part I. Project Information. See instructions in Appendix 4-1. The engineer's report may contain a project estimate to serve as a basis for the summary of costs required in Part I. If, however, the report does not cover all project costs, the sponsor should supplement the report with a project estimate.
- b. Part II. Representations. (Section 151.37 FAR). This part contains certifications that require the particular attention of the sponsor's attorney.
- (1) Funds. (Section 151.23 FAR). Funds need not be on deposit but Representation No. 2 must show that they can be obtained. As an example, bonds must have been sold, not merely proposed for sale. Identify separately and show claimed values of any donated land, labor, materials, or equipment.
- (2) Property Interests. (Section 151.25 FAR). Representation No. 7 must show property interests separately by the areas shown on Exhibit A. A separate title opinion must accompany the Project Application for each area for which costs are claimed for reimbursement as project costs. The property interests, whether or not for areas thus included for reimbursement, must be:
- "(1) Title free and clear of any reversionary interest, lien, easement, lease, or other encumbrance that, in the opinion of the Administrator, would create an undue risk that might deprive the sponsor of possession or control, interfere with its use for public airport purposes, or make it impossible for the sponsor to carry out the agreements and covenants in the application;
- "(2) A lease of not less than 20 years granted to the sponsor by another public agency that has title as described in subparagraph (1) of this paragraph, on terms that the Administrator considers satisfactory; or

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"(3) In the case of an off-site area an agreement, easement, leasehold, or other right or property interest that, in the Administrator's opinion, provides reasonable assurance that the sponsor will not be deprived of its right to use the land for the intended purpose during the period necessary to meet the requirements of the Grant Agreement."

- c. Part III. Sponsor's Assurances. (Section 151.37 FAR). These are continuing obligations that the sponsor should carefully study. If changes in law or regulations require any changes in the language, the FAA will make corrections through special conditions in the Grant Offer.

Assurance No. 9 is included to meet the requirements of Section 11, Paragraph (6) of the Federal Airport Act. It requires the sponsor to furnish cost free areas for the facilities mentioned. The FAA will notify the sponsor, during project development, of any requirements and will insert a special condition in the Grant Agreement to release the obligation or describe requirements, as appropriate.

- d. Part IV, Project Agreement. Part IV requires the signatures of the sponsor's attorney and an authorized official of the sponsor.
- e. Submission to the FAA. Unless additional copies are requested by the FAA Area Office, the sponsor should submit four executed copies of the completed Project Application.

17. SUPPORTING DOCUMENTS FOR PROJECT APPLICATION. Certain documents are necessary to complete the Project Application and are, therefore, a part of the application.

- a. Plans and Specifications. (See Paragraph 10.) In a special case where the agency authorizes postponement of the submission of final plans and specifications, the sponsor may submit preliminary plans and specifications. Although the construction requirements may be in preliminary form, the status must be such that the scope and cost of the project are accurate enough to issue a Grant Offer.

- b. Assurance of Nondiscrimination (Part 15 FAR). In addition to labor and equal employment opportunity requirements for development work in a project, a sponsor must himself assure nondiscrimination in operating the airport. Appendix 4-2 of this chapter contains the language of the assurance that the sponsor must present with the Project Application.
- c. Information on Relationship to Airport Environment (Section 151.26(b) FAR). As explained in Paragraph 15, the sponsor should submit comments from agencies authorized to review projects. In addition, information is necessary about the consideration the sponsor has given to community interest. The sponsor should, therefore, submit:
 - (1) Agency Comments. Comments and recommendations obtained from each agency that has reviewed the project. If no comments have been received within 60 days after solicitation, the sponsor may instead certify that a plan or description of the project has lain before the appropriate review agency or unit of local Government for a period of 60 days without comment or no review, (Paragraph 15c) a statement to that effect is sufficient.
 - (2) Consideration of Comments. The sponsor's statement about the consideration he has given to the comments and recommendations he has received.
 - (3) Sponsor's Statement on Consistency. The sponsor's own statement about the extent to which the project is consistent with comprehensive planning and existing plans for the area and the extent to which the project contributes to such plans or planning.
 - (4) Land from Public Parks, etc. If the project requires the use of any land from a public park, etc., any comments additional to those received for other purposes, an explanation of reasons for use of the land, and plans to minimize harm to the site and its environment.
 - (5) Community Interest. The sponsor's statement about consideration given to the interest of all communities in or near the project, together with the substance of objections to or approvals of the project made known to the sponsor by any local individual, group, or community.

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d. Land Interests (Section 151.25 FAR).

- (1) Exhibit A. The property map (Figure 4-1) illustrates the narrative about land in the Project Application. A major purpose is to allow the sponsor's attorney to compare the airport property with legal descriptions and to allow a similar comparison by FAA counsel. Figure 4-1 is one method, but not the only method of serving this purpose.
 - (a) Land not Included in the Project. In the common case where land previously acquired outside the project is an assemblage of several tracts, the map need show only the total boundaries and acreage of the combined tracts. A sponsor may choose to show overall metes and bounds (latitude and departures from an established monument) for the entire property. An accurate drawing of the boundaries of an assemblage of individual tracts, each of which conform to a recorded legal description, is also acceptable.
 - (b) Land Included in the Project. The map should distinguish tracts that have been acquired but with costs included in project costs (reimbursement), as well as tracts to be acquired to provide airport and clear zone needs, whether or not costs are to be claimed. The map may show metes and bounds or, for a tract conforming to a recorded legal description, an accurate drawing of the boundaries. In case the tract varies from the recorded description, metes and bounds are necessary to illustrate the tract. Exhibit A may, in this case, be at a scale that prevents accurate illustration. In such a case, an attachment (Exhibit B) may be used to illustrate individual tracts. See Figure 4-2.
- (2) Title Opinions. No title evidence is required for land owned by the sponsor but not included in the particular project, other than the certification appearing on the Project Application. A certificate of title for each tract of land included in the project for acquisition or reimbursement is required to support an application for payment that includes the land.

- (3) Land Cost Information (Section 151.27(c) FAR). The project estimate or a separate supporting document should include the sponsor's own basis for considering, as reasonable, the cost of each parcel of land in the project. The FAA may require the sponsor to obtain independent appraisals to support land costs if other supporting information is not sufficient to allow FAA concurrence in reasonableness of costs. The FAA Area Office will advise whether appraisals are required.

If the sponsor includes, in the project, the value of donated land or a value for land that exceeds the cost to the donor, the FAA will make or obtain appraisals before processing the Project Application.

- e. Documents Unique to Certain Projects. Other supporting documents are necessary to assure that certain projects conform to Federal Aviation Regulations. Some of these are:
 - (1) Co-Sponsorship (Section 151.33(a) and (c) FAR). Note that if co-sponsors of a project will not assume, jointly and severally, all of the obligations of a Grant Agreement, they must submit true copies of the agreement between them.
 - (2) Agent (Section 151.33(d)). If one public agency, such as a state aviation agency, serves as agent for a local sponsor, copies of the agreement between them must be submitted.
 - (3) Donations (Section 151.23 FAR). Requirements respecting donated land are discussed in Paragraph 17d(3). Project documents must also set forth the nature and value assigned to each proposed donation of any labor, materials, or equipment.

18. GRANT OFFER AND AGREEMENT (APPENDIX 4-3). FAA Form 1632, Grant Agreement, consists of the Offer, Part I, and Acceptance, Part II. On execution, this Agreement constitutes a contract between the sponsor and the United States.

- a. Offer (Sections 151.29(a) and 151.31 FAR). The FAA prepares Part I, usually after bids for construction are received, so that the amount of the grant can be accurate. The amount of the grant may be more or less than the original allocation, as required for the project. After the offer is accepted, the grant amount may, in case of increased project costs, be increased only up to 10 percent of the grant amount. The sponsor makes no entries in Part I, but he should carefully study the entire document.

- (1) Project Application. The Grant Agreement incorporates the Project Application by reference. Sponsor's statements in the Project Application and its supporting documents thus become a part of the contract between the sponsor and the United States.
- (2) Standard Terms and Conditions of the Offer. The first seven terms and conditions in the form dated 6-63 are applicable to all projects. The FAA will issue this part of the Offer without changes.
- (3) Other Terms and Conditions. The FAA will add terms and conditions that may be necessary because of changes in law and regulations since printing of the form or because of unique project situations. Among these are:
 - (a) Equal Employment Opportunity. A term of the Grant Offer requires the sponsor to include the equal employment opportunity clause of Executive Order 11246 of September 24, 1965, in all FAAP contracts.
 - (b) Cost Free Areas. See Assurance No. 9, Part III of the Project Application.
 - (c) Excluded Costs. In some cases a sponsor may include, in construction contracts, development in which there will be partial or no Federal participation.
 - (d) Sponsor Actions to Complete the Project. In some projects the sponsors have not, at the time of the Grant Agreement, taken some actions to meet project requirements. One example is acquisition of land interests. A special condition may cover agreed times for actions and may provide for deferral of payments of Federal funds.
 - (e) Agency Agreement. If an agency agreement affects actions in the project, a condition will describe these actions.
 - (f) Future Obligations. A condition may set forth a future obligation to take an action that cannot be taken under the project. This type of condition is used when the

action will take a considerable amount of time and the delay will not cause any immediate problem in operation of the airport.

- b. Acceptance (Section 151.29(c) FAR). Item 7 of the terms and conditions in Part I will show a date within which the sponsor must accept the offer. The date will normally be approximately 60 days from the time of the Offer. If, however, the date of the Offer is near the end of the fiscal year in which the Federal funds must be obligated, the time may be considerably less than 60 days.
 - (1) Action by Sponsor's Governing Body. The sponsor's signing official must have been authorized by the sponsor's governing body to sign the acceptance. The resolution or ordinance, as appropriate under local law, may be in any format to comply with the law. It must, however, either:
 - (a) Set forth the terms of the Offer at length, or
 - (b) Have a copy of the Offer attached to the resolution or ordinance and incorporated into it by reference. Most sponsors prefer to use this method because the Offer, which in turn incorporates the Project Application, would cause a burdensome addition to the resolution or ordinance. The basic concepts are that members of the governing body know the full content of the Grant Agreement and that the method of acceptance conforms to local law. The FAA Area Office may, when transmitting the Grant Agreement, furnish a sample format of a resolution that is not a required form, but only an illustration.
 - (2) Certification of Resolution or Ordinance. The sponsor must certify the attached copy of the resolution or ordinance.
 - (3) Submission to FAA. After execution of the Grant Agreement, the sponsor should forward to the FAA Area Office, the certified resolution or ordinance and the original and three executed copies of the Grant Agreement.

- c. Relationship to Start of Construction (Section 151.41(c)(3) FAR).
For most projects, sponsors will have taken bids for construction prior to execution of the Grant Agreement. The FAA may have also concurred in selection of the successful bidder and award of a contract. Most sponsors do not, however, actually execute construction contracts until assured of their own contract with the United States by executing the Grant Agreement. The sponsor's major concern is the avoidance of construction costs prior to execution of the Grant Agreement.

UNITED STATES OF AMERICA
FEDERAL AVIATION AGENCY

PROJECT APPLICATION

(For Federal Aid for Development of Public Airports)

Part I-PROJECT INFORMATION

The _____ (herein called the "Sponsor") hereby makes application to the Federal Aviation Agency (hereinafter called the "FAA"), for a grant of Federal funds pursuant to the Federal Airport Act and the Regulations issued thereunder, for the purpose of aiding in financing a project (herein called the "Project") for development of the _____ Airport (herein called the "Airport") located in _____ State of _____.

It is proposed that the Project consist of the following-described airport development:

Insert a narrative description of the development. Description must be within the scope of the development contained in the letter of allocation for the project.

If the project includes land acquisition, list the parcels or tracts to be acquired as identified on Exhibit A. Show for each tract as appropriate: "Fee simple title to be acquired," "Easement to be acquired," or "Land previously purchased, costs included in this project."

all as more particularly described on the property map attached (hereto as Exhibit "A")* (as Exhibit "A" to Project Application dated _____ for Project No. _____)*, and in the plans and specifications submitted to the FAA on _____ which are made a part hereof.*

*Incorporation, by this reference, to an Exhibit A from a previous Project Application is acceptable if land areas interests are identical. It is preferable, however, to attach the Exhibit A for convenient reference even if it is identical to that for a previous project.

THE FOLLOWING IS A SUMMARY OF THE ESTIMATED COSTS OF THE PROJECT:

ITEM	TOTAL ESTIMATED COST	ESTIMATED SPONSOR'S SHARE OF COST		ESTIMATED FEDERAL SHARE OF COST	
		AMOUNT	PER- CENT	AMOUNT	PER- CENT
1. LAND COSTS	Costs should be consistent with the estimate submitted with the plans and specifications.	*		*	
2. CONSTRUCTION COSTS					
3. ENGINEERING AND SUPERVISION COSTS					
4. ADMINISTRATIVE COSTS					
5. Total of 2, 3, and 4 above		*		*	
6. CONTINGENCIES		*		*	
7. TOTAL ALL ESTIMATED PROJECT COSTS (Items 1, 5, and 6)		See Part II Par. 2		See Part II Par. 2	

* If project development qualifies for different rates of participation, show amount involved in each percentage rate.

Part II—REPRESENTATIONS

The Sponsor hereby represents and certifies as follows:

1. **Legal Authority.**—The Sponsor has the legal power and authority: (1) to do all things necessary in order to undertake and carry out the Project in conformity with the Act and the Regulations; (2) to accept, receive, and disburse grants of funds from the United States in aid of the Project, on the terms and conditions stated in the Act and the Regulations; and (3) to carry out all of the provisions of Parts III and IV of this Project Application.

2. **Funds.**—The Sponsor now has on deposit, or is in a position to secure, \$_____ for use in defraying the costs of the Project. The present status of these funds is as follows: Amount must equal or exceed sponsor's share as shown in Part I. List separately any funds that have been expended for land or engineering in the project.

"Federal share" amounts in FAAP projects are amounts under the Federal Airport Act. If "sponsor funds" include funds from other Federal agencies, state grants, or contributions from similar sources, identify the agency and amount contributed by each of them (Sections 151.23 and 151.27(c) FAR).

3. **Compatible Land Use.**—The Sponsor has taken the following actions to assure compatible usage of land adjacent to or in the vicinity of the airport: Include actions for compatible land use or protection of approaches including:

- (a) property interests obtained
- (b) zoning laws in force (whether or not enacted by sponsor);
- (c) actions to induce appropriate government authority to enact zoning laws. (Section 151.26(a) FAR).

4. **Approvals of Other Agencies.**—The Project has been approved by all non-Federal agencies whose approval is required, namely: List agencies having authority to approve or disapprove. Most common is a state aviation agency in a state where such authority is established.

List any unit of state or local government, other than the sponsor, that has such authority.

5. **Defaults.**—The Sponsor is not in default on any obligation to the United States or any agency of the United States Government relative to the development, operation, or maintenance of any airport, except as stated herewith:

Show exception if any, otherwise enter "none."

6. **Possible Disabilities.**—There are no facts or circumstances (including the existence of effective or proposed leases, use agreements, or other legal instruments affecting use of the Airport or the existence of pending litigation or other legal proceedings) which in reasonable probability might make it impossible for the Sponsor to carry out and complete the Project or carry out the provisions of Parts III and IV of the Project Application, either by limiting its legal or financial ability or otherwise, except as follows:

List any possible disabilities.

Do not include land encumbrances which are related to the representation in Paragraph 7 or to separate title opinions.

7. **Land.**—(a) The Sponsor holds the following property interest in the following areas of land¹ which are to be developed or used as part of or in connection with the Airport, subject to the following exceptions, encumbrances, and adverse interests, all of which areas are identified on the aforementioned property map designated as Exhibit "A":

For title in fee show "title in fee, clear of all liens, easements, leases, and other encumbrances and adverse interests." or if there are encumbrances, "title in fee subject to" For less than fee, describe the interest and authority under which interest is held. If leased from another public agency, attach a certified copy of the instrument creating the interest.

The Sponsor further certifies that the above is based on a title examination by a qualified attorney or title company and that such attorney or title company has determined that the Sponsor holds the above property interests.

¹State character of property interest in each area and list and identify for each all exceptions, encumbrances, and adverse interests of every kind and nature, including liens, easements, leases, etc. The separate areas of land need only be identified here by the area numbers shown on the property map.
(9-64)

(b) The Sponsor will acquire within a reasonable time, but in any event prior to the start of any construction work under the Project, the following property interest in the following areas of land¹ on which such construction work is to be performed, all of which areas are identified on the aforementioned property map designated as Exhibit "A":

This covenant is included in accordance with Section 151.25 FAR. The sponsor should, if possible, obtain title prior to submitting the Project Application.

If an area is shown under this subsection, the sponsor's attorney must submit, and the FAA accept, a title opinion for the area before construction begins in that area.

(c) The Sponsor will acquire within a reasonable time, and if feasible prior to the completion of all construction work under the Project, the following property interest in the following areas of land¹ which are to be developed or used as part of or in connection with the Airport as it will be upon completion of the Project, all of which areas are identified on the aforementioned property map designated as Exhibit "A":

The "reasonable time" will normally be as agreed between the sponsor and the FAA in the sponsor's schedule for the project. The Grant Agreement may contain a special condition preventing grant payments after the agreed time.

Areas listed may be either areas included in the project or areas in which property interests are to be acquired without Federal participation to satisfy a project requirement such as for clear zones (Section 151.11 FAR).

¹State character of property interest in each area and list and identify for each all exceptions, encumbrances, and adverse interests of every kind and nature, including liens, easements, leases, etc. The separate areas of land need only be identified here by the area numbers shown on the property map.

Part III-SPONSOR'S ASSURANCES

In order to furnish the assurances required by the Act and Regulations the Sponsor hereby covenants and agrees with the United States, as follows:

1. These covenants shall become effective upon acceptance by the Sponsor of an offer of Federal aid for the Project or any portion thereof, made by the FAA and shall constitute a part of the Grant Agreement thus formed. These covenants shall remain in full force and effect throughout the useful life of the facilities developed under this Project, but in any event not to exceed twenty (20) years from the date of said acceptance of an offer of Federal aid for the Project.

2. The Sponsor will operate the Airport as such for the use and benefit of the public. In furtherance of this covenant (but without limiting its general applicability and effect), the Sponsor specifically agrees that it will keep the Airport open to all types, kinds, and classes of aeronautical use without discrimination between such types, kinds, and classes: *Provided*, That the Sponsor may establish such fair, equal, and not unjustly discriminatory conditions to be met by all users of the Airport as may be necessary for the safe and efficient operation of the Airport; *And Provided Further*, That the Sponsor may prohibit or limit any given type, kind, or class of aeronautical use of the Airport if such action is necessary for the safe operation of the airport or necessary to serve the civil aviation needs of the public.

3. The Sponsor will not grant or permit any exclusive right for the use of the airport forbidden by Section 308 of the Federal Aviation Act of 1958, and will otherwise comply with all applicable laws. In furtherance of this covenant (but without limiting its general applicability and effect), the Sponsor specifically agrees that, unless authorized by the Administrator, it will not, either directly or indirectly, grant or permit any person, firm, or corporation the exclusive right for the conduct of any aeronautical activities on the Airport, including but not limited to, charter flights, pilot training, aircraft rental and sightseeing, aerial photography, crop dusting, aerial advertising and surveying, air carrier operations, aircraft sales and services, sale of aviation petroleum products whether or not conducted in conjunction with other aeronautical activity, repair and maintenance of aircraft, sale of aircraft parts, and any other activities which because of their direct relationship to the operation of aircraft can be regarded as an aeronautical activity: *Provided*, That the prohibition against the grant or permit of an exclusive right as set forth herein in no way alters the rights or obligations of the Sponsor under a surplus property instrument of transfer pursuant to which surplus property was conveyed to the Sponsor by the United States pursuant to the *Surplus Property Act of 1944*, (61 Stat. 678), as amended.

4. The Sponsor agrees that it will operate the Airport for the use and benefit of the public, on fair and reasonable terms, and without unjust discrimination. In furtherance of this covenant (but without limiting its general applicability and effect), the Sponsor specifically covenants and agrees:

a. That in its operation and the operation of all facilities on the airport, neither it nor any person or organization

occupying space or facilities thereon will discriminate against any person or class of persons by reason of race, color, creed, or national origin in the use of any of the facilities provided for the public on the Airport.

b. That in any agreement, contract, lease, or other arrangement under which a right or privilege at the Airport is granted to any person, firm, or corporation to render to the public any service (including the furnishing or sale of any aeronautical parts, materials, or supplies) essential to the operation of aircraft at the Airport, the Sponsor will insert and enforce provisions requiring the contractor:

(1) to furnish said service on a fair, equal, and not unjustly discriminatory basis to all users thereof, and

(2) to charge fair, reasonable, and not unjustly discriminatory prices for each unit or service; *Provided*, That the contractor may be allowed to make reasonable and nondiscriminatory discounts, rebates, or other similar types of price reductions to volume purchasers.

c. That it will not exercise or grant any right or privilege which would operate to prevent any person, firm, or corporation operating aircraft on the Airport from performing any services on its own aircraft with its own employees (including, but not limited to maintenance and repair) that it may choose to perform.

d. In the event the Sponsor itself exercises any of the rights and privileges referred to in subsection b, the services involved will be provided on the same conditions as would apply to the furnishing of such services by contractors or concessionaires of the Sponsor under the provisions of such subsection b.

5. Nothing contained herein shall be construed to prohibit the granting or exercise of an exclusive right for the furnishing of nonaviation products and supplies or any service of a nonaeronautical nature or to obligate the Sponsor to furnish any particular nonaeronautical service at the Airport.

6. The Sponsor will operate and maintain in a safe and serviceable condition the Airport and all facilities thereon and connected therewith which are necessary to serve the aeronautical users of the Airport other than facilities owned or controlled by the United States, and will not permit any activity thereon which would interfere with its use for airport purposes: *Provided*, That nothing contained herein shall be construed to require that the Airport be operated for aeronautical uses during temporary periods when snow, flood, or other climatic conditions interfere with such operation and maintenance; *And Provided Further*, That nothing herein shall be construed as requiring the maintenance, repair, restoration or replacement of any structure or facility which is substantially damaged or destroyed due to an act of God or other condition or circumstance beyond the control of the Sponsor.

7. Insofar as it is within its power and reasonably possible, the Sponsor will, either by the acquisition and retention of easements or other interests in or rights for the use of land or airspace or by the adoption and enforcement of zoning regulations, prevent the construction, erection, alteration, or growth of any structure, tree, or other object in the approach areas of the runways of the Airport, which would constitute an obstruction to air navigation according to the criteria or standards prescribed in Section A of FAA Technical Standard Order No. N18, or Advisory Circular (AC) No. 150/5300-1, whichever is applicable according to the currently approved airport layout plan. In addition, the Sponsor will not erect or permit the erection of any permanent structure or facility which would interfere materially with the use, operation, or future development of the Airport, in any portion of a runway approach area in which the Sponsor has acquired, or may hereafter acquire, property interests permitting it to so control the use made of the surface of the land.

8. All facilities of the Airport developed with Federal aid and all those usable for the landing and taking off of aircraft, will be available to the United States at all times, without charge, for use by military and naval aircraft in common with other aircraft, except that if the use by military and naval aircraft is substantial, a reasonable share, proportional to such use, of the cost of operating and maintaining facilities so used, may be charged. Unless otherwise determined by the FAA, or otherwise agreed to by the Sponsor and the using agency, substantial use of an airport by military and naval aircraft will be considered to exist when operations of such aircraft are in excess of those which, in the opinion of the FAA, would unduly interfere with use of the landing area by other authorized aircraft, or during any calendar month that:

a. Five (5) or more military or naval aircraft are regularly based at the airport or on land adjacent thereto; or

b. The total number of movements (counting each landing as a movement and each takeoff as a movement) of military or naval aircraft is 300 or more, or the gross accumulative weight of military or naval aircraft using the Airport (the total movements of military or naval aircraft multiplied by gross certified weights of such aircraft) is in excess of five million pounds.

9. Whenever so requested by the FAA, the Sponsor will furnish without cost to the Federal Government, for construction, operation and maintenance of facilities for air traffic control activities, or weather reporting activities and communication activities related to air traffic control, such areas of land or water, or estate therein, or rights in buildings of the Sponsor as the FAA may consider necessary or desirable for construction at Federal expense of space or facilities for such purposes. The approximate amounts of areas and the nature of the property interests and/or rights so required will be set forth in the Grant Agreement relating to the Project. Such areas or any portion thereof will be made available as provided herein within 4 months after receipt of written request from the FAA.

10. The Sponsor will furnish the FAA with such annual or special airport financial and operational reports as may be reasonably requested. Such reports may be submitted on forms furnished by the FAA, or may be submitted in such

manner as the Sponsor elects so long as the essential data are furnished. The Airport and all airport records and documents affecting the Airport, including deeds, leases, operation and use agreements, regulations, and other instruments, will be made available for inspection by any duly authorized representative of the FAA upon reasonable request. The Sponsor will furnish to the FAA, upon request, a true copy of any such document.

11. The Sponsor will not enter into any transaction which would operate to deprive it of any of the rights and powers necessary to perform any or all of the covenants made herein, unless by such transaction the obligation to perform all such covenants is assumed by another public agency found by the FAA to be eligible under the Act and Regulations to assume such obligations and having the power, authority, and financial resources to carry out all such obligations. If an arrangement is made for management or operation of the Airport by any agency or person other than the Sponsor or an employee of the Sponsor, the Sponsor will reserve sufficient rights and authority to insure that the Airport will be operated and maintained in accordance with the Act, the Regulations, and these covenants.

12. The Sponsor will keep up to date at all times an airport layout plan of the Airport showing (1) the boundaries of the Airport and all proposed additions thereto, together with the boundaries of all offsite areas owned or controlled by the Sponsor for airport purposes, and proposed additions thereto; (2) the location and nature of all existing and proposed airport facilities and structures (such as runways, taxiways, aprons, terminal buildings, hangars, and roads), including all proposed extensions and reductions of existing airport facilities; and (3) the location of all existing and proposed non-aviation areas and of all existing improvements thereon. Such airport layout plan, and each amendment, revision, or modification thereof, shall be subject to the approval of the FAA, which approval shall be evidenced by the signature of a duly authorized representative of the FAA on the face of the airport layout plan. The Sponsor will not make or permit the making of any changes or alterations in the Airport or any of its facilities other than in conformity with the airport layout plan as so approved by the FAA, if such changes or alterations might adversely affect the safety, utility, or efficiency of the Airport.

13. Insofar as is within its power and to the extent reasonable, the Sponsor will take action to restrict the use of land adjacent to or in the immediate vicinity of the Airport to activities and purposes compatible with normal airport operations including landing and takeoff of aircraft.

14. If at any time it is determined by the FAA that there is any outstanding right or claim of right in or to the Airport property, other than those set forth in Part II, paragraphs 7(a), 7(b), and 7(c), the existence of which creates an undue risk of interference with the operation of the Airport or the performance of the covenants of this Part, the Sponsor will acquire, extinguish, or modify such right or claim of right in a manner acceptable to the FAA.

15. Unless the context otherwise requires, all terms used in these covenants which are defined in the Act and the Regulations shall have the meanings assigned to them therein.

Part IV--PROJECT AGREEMENT

If the Project or any portion thereof is approved by the FAA, and an offer of Federal aid for such approved Project is accepted by the Sponsor, it is understood and agreed that all airport development included in such Project will be accomplished in accordance with the Act and the Regulations, the plans and specifications for such development, as approved by the FAA, and the Grant Agreement with respect to the Project.

IN WITNESS WHEREOF, the Sponsor has caused this Project Application to be duly executed in its name, this _____ day of _____, 19____

(Name of Sponsor)

By _____

(Title)

OPINION OF SPONSOR'S ATTORNEY

I HEREBY CERTIFY that all statements of law made in this Project Application and all legal conclusions upon which the representations and covenants contained herein are based, are in my opinion true and correct.

(Title)

(Date)

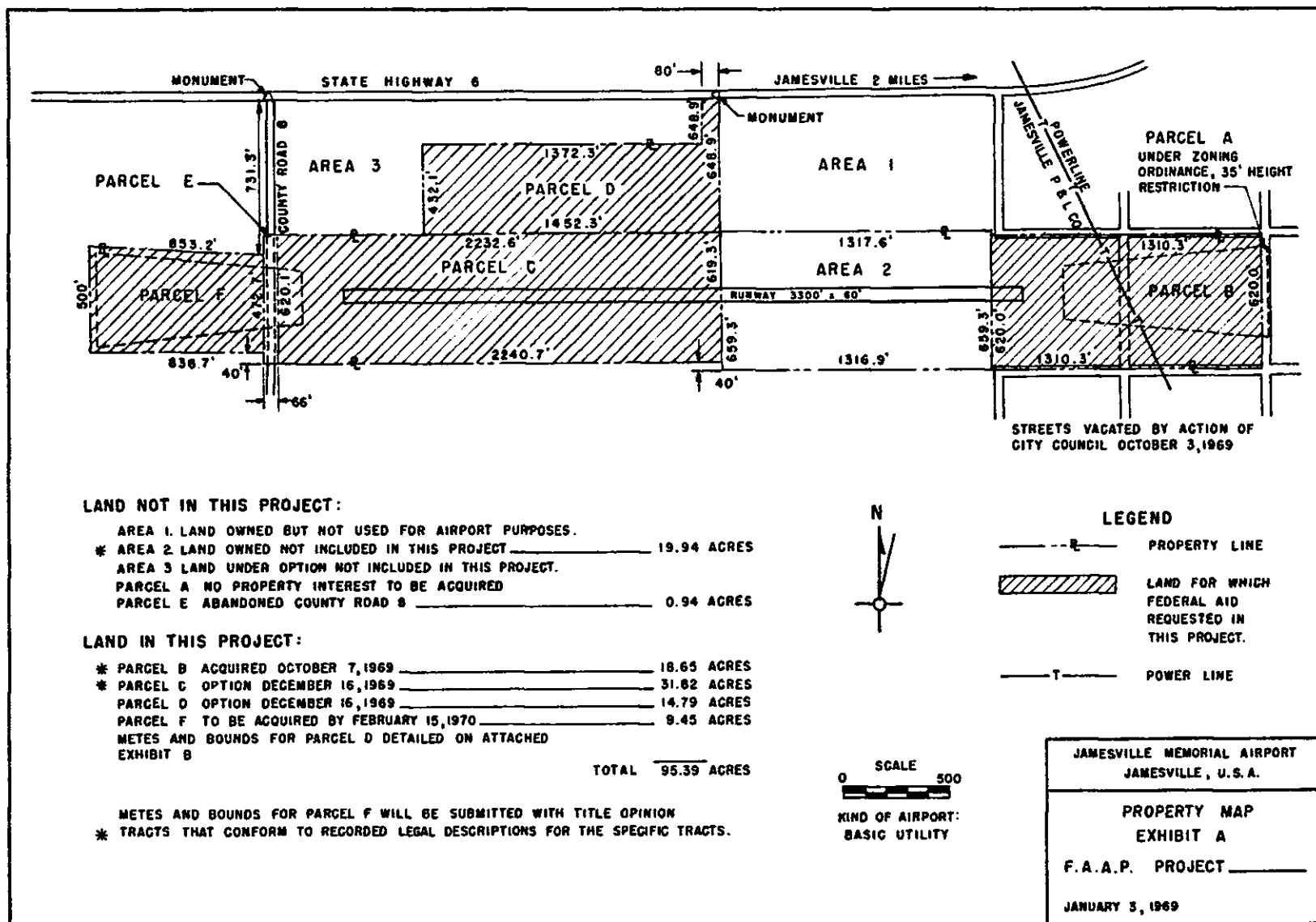


FIGURE 4-1. PROPERTY MAP EXHIBIT A
TO ACCOMPANY FAA FORM 1624

SPONSOR ASSURANCE TO ACCOMPANY PROJECT APPLICATION
DATED _____ FOR A GRANT OF FUNDS FOR THE
DEVELOPMENT OR IMPROVEMENT OF THE _____
AIRPORT

Nondiscrimination in Federally assisted Programs of the FAA. In order to furnish the assurances required by Title VI of the Civil Rights Act of 1964, and by Part 15 of the Federal Aviation Regulations, as amended, the _____ (hereinafter called the "Sponsor")

(Insert name of Sponsor)
hereby covenants and agrees with the United States (hereinafter called the "Government" as follows:

The Sponsor in the operation and use of the _____ Airport, will not on the grounds of race, color, or national origin discriminate or permit discrimination against any person or group of persons in any manner prohibited by Part 15 of the Federal Aviation Regulations.

The Sponsor will include, or require the inclusion of, the foregoing covenant in every agreement or concession pursuant to which any person or persons, other than the Sponsor, operates or has the right to operate any facility on the Airport providing services to the public, and a provision granting the Sponsor the right to take such action as the Government may direct to enforce such covenant.

Noncompliance with the above assurances shall constitute a material breach, and in the event of such noncompliance the Government may take appropriate action to enforce compliance, may terminate the Grant Agreement to which this covenant relates, or seek judicial enforcement.

The covenant shall become effective upon execution of a Grant Agreement pursuant to the above identified Project Application and shall constitute part of the Grant Agreement to which it relates and shall remain in full force and effect so long as the airport covered by such agreement continues to be used and operated as a public airport.

(Name of Sponsor)

(Date)

By:

(Title)

5. The Sponsor shall operate and maintain the Airport as Provided in the Project Application incorporated herein and specifically covenants and agrees, in accordance with its Assurance 4 in Part III of said Project Application, that in its operation and the operation of all facilities thereof, neither it nor any person or organization occupying space or facilities thereon will discriminate against any person or class of persons by reason of race, color, creed or national origin in the use of any of the facilities provided for the public on the airport.
6. The FAA reserves the right to amend or withdraw this Offer at any time prior to its acceptance by the Sponsor.
7. This Offer shall expire and the United States shall not be obligated to pay any part of the costs of the Project unless this Offer has been accepted by the Sponsor on or before or such subsequent date as may be prescribed in writing by the FAA.
- 8.

The Sponsor's acceptance of this Offer and ratification and adoption of the Project Application incorporated herein shall be evidenced by execution of this instrument by the Sponsor, as herein-after provided, and said Offer and Acceptance shall comprise a Grant Agreement, as provided by the Federal Airport Act, constituting the obligations and rights of the United States and the Sponsor with respect to the accomplishment of the Project and the operation and maintenance of the Airport. Such Grant Agreement shall become effective upon the Sponsor's acceptance of this Offer and shall remain in full force and effect throughout the useful life of the facilities developed under the Project but in any event not to exceed twenty years from the date of said acceptance.

UNITED STATES OF AMERICA
FEDERAL AVIATION AGENCY

By
(TITLE)

Part II-Acceptance

The does hereby ratify and adopt all statements, representations, warranties, covenants, and agreements contained in the Project Application and incorporated materials referred to in the foregoing Offer and does hereby accept said Offer and by such acceptance agrees to all of the terms and conditions thereof.

Executed this day of, 19.....

.....
(Name of Sponsor)

(SEAL) By
Title

Attest:
Title:

CERTIFICATE OF SPONSOR'S ATTORNEY

I,, acting as Attorney for,
(herein referred to as the "Sponsor") do hereby certify:

That I have examined the foregoing Grant Agreement and the proceedings taken by said Sponsor relating thereto, and find that the Acceptance thereof by said Sponsor has been duly authorized and that the execution thereof is in all respects due and proper and in accordance with the laws of the State of, and further that, in my opinion, said Grant Agreement constitutes a legal and binding obligation of the Sponsor in accordance with the terms thereof.

Dated at this day of, 19.....

.....
Title

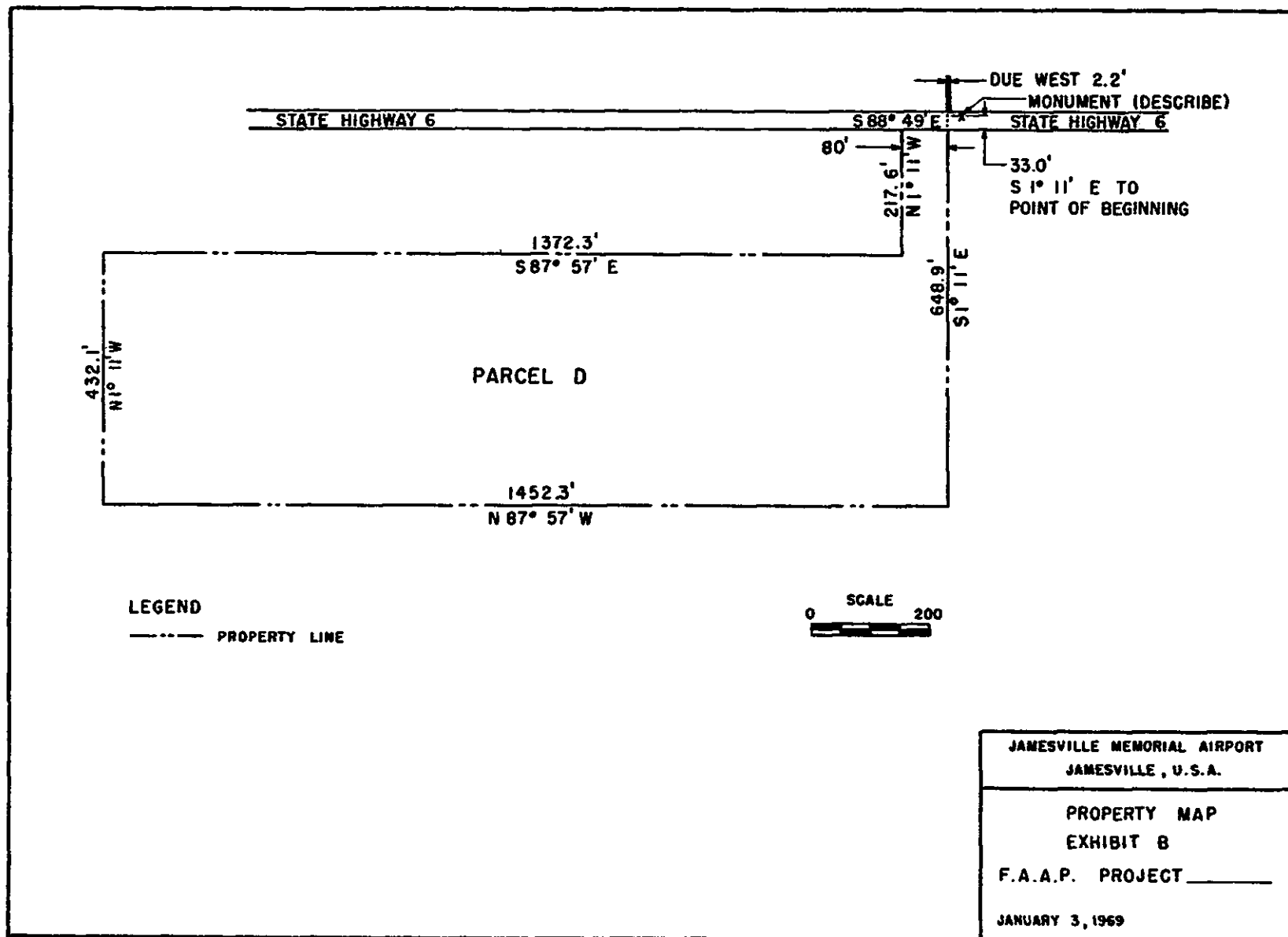


FIGURE 4-2. PROPERTY MAP EXHIBIT B
TO ACCOMPANY FAA FORM 1624

FEDERAL AVIATION AGENCY

GRANT AGREEMENT

Part 1-Offer

Date of Offer

Airport

Project No.

Contract No.

TO:

(herein referred to as the "Sponsor")

FROM: The United States of America (acting through the Federal Aviation Agency, herein referred to as the "FAA")

WHEREAS, the Sponsor has submitted to the FAA a Project Application dated , for a grant of Federal funds for a project for development of the Airport (herein called the "Airport"), together with plans and specifications for such project, which Project Application, as approved by the FAA is hereby incorporated herein and made a part hereof; and

WHEREAS, the FAA has approved a project for development of the Airport (herein called the "Project") consisting of the following-described airport development:

all as more particularly described in the property map and plans and specifications incorporated in the said Project Application;

NOW THEREFORE, pursuant to and for the purpose of carrying out the provisions of the Federal Airport Act, as amended (49 U.S.C. 1101), and in consideration of (a) the Sponsor's adoption and ratification of the representations and assurances contained in said Project Application, and its acceptance of this Offer as hereinafter provided, and (b) the benefits to accrue to the United States and the public from the accomplishment of the Project and the operation and maintenance of the Airport as herein provided, THE FEDERAL AVIATION AGENCY, FOR AND ON BEHALF OF THE UNITED STATES, HEREBY OFFERS AND AGREES to pay, as the United States share of the allowable costs incurred in accomplishing the Project,

This Offer is made on and subject to the following terms and conditions:

1. The maximum obligation of the United States payable under this Offer shall be \$
2. The Sponsor shall:
 - (a) begin accomplishment of the Project within _____ days after acceptance of this Offer or such longer time as may be prescribed by the FAA, with failure to do so constituting just cause for termination of the obligations of the United States hereunder by the FAA;
 - (b) carry out and complete the Project without undue delay and in accordance with the terms hereof, the Federal Airport Act, and Sections 151.45-151.55 of the Regulations of the Federal Aviation Agency (14 CFR 151) in effect as of the date of acceptance of this Offer; which Regulations are hereinafter referred to as the "Regulations";
 - (c) carry out and complete the Project in accordance with the plans and specifications and property map, incorporated herein, as they may be revised or modified with the approval of the FAA.
3. The allowable costs of the project shall not include any costs determined by the FAA to be ineligible for consideration as to allowability under Section 151.41 (b) of the Regulations.
4. Payment of the United States share of the allowable project costs will be made pursuant to and in accordance with the provisions of Sections 151.57 - 151.63 of the Regulations. Final determination as to the allowability of the costs of the project will be made at the time of the final grant payment pursuant to Section 151.63 of the Regulations: Provided, that, in the event a semi-final grant payment is made pursuant to Section 151.63 of the Regulations, final determination as to the allowability of those costs to which such semi-final payment relates will be made at the time of such semi-final payment.

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Notes: Item 1. Most recent sales for off highway land range from \$250 to \$325 per acre. Owner of 6 acres for administrative area is demanding \$800 an acre. Local realtors believe condemnation might be at \$750 per acre. Owners of east clear zone will give easements for \$150 an acre but we propose fee title. Owner of west clear zone will not consider easement but claims he has been offered \$250 an acre for fee title.

Items 2, 3, 4, 6, and 8. Estimates based on bid prices for a road project in this county and for the airport project at Airville in the next county.

Pavement is 1½ inches hot mix, 4" aggregate base course, 4" aggregate subbase for 8000 lb. gross load.

*

Item 5. Price is Power Company quotation.

Item 7. County is considering construction of a new road ½ mile west. If they do, the present road will be abandoned instead of relocated. Final decision will be made before Project Application.

Item 9. We understand from discussion with FAA engineers that this item might have a lower priority than the runway. We nevertheless believe that this taxiway is necessary. We will have 22 aircraft from the privately owned Swallow Airport north of town that is being abandoned. Our airport operator will have charter service and believes that safety requires that taxiing aircraft not use the west portion of the runway.

/s/ Marshall K. Roman
Commissioner of Public Works

CHAPTER 5. CONSTRUCTION

19. CONTRACTING FOR CONSTRUCTION (SECTION 151.45 FAR). Although Part 151, FAR sets forth certain requirements for advertisement for bids, negotiation, award, and execution of a contract, the FAA requires no specific format for these documents. These procedures must, however, meet requirements of local law.

- a. Advertising for Bids (Sections 151.47(b) and 151.54(d)(1) FAR). A sponsor may not advertise for bids or negotiate a contract, until the FAA approves plans and specifications. The form of advertisement or "invitation" must state that work will be subject to the minimum wage rates established by the Secretary of Labor as well as Equal Employment Opportunity requirements, and must require each bidder to furnish complete information about previous contracts subject to the Equal Employment Opportunity clause as requested in the bid form.

FAA approval of plans and specifications applies only to the plans and specifications submitted prior to this approval. Any modification made between advertisement and receipt of bids requires FAA approval of an addendum issued to all prospective bidders.

The form of advertisement will normally have been submitted with plans and specifications. Copies of the actual advertisement should, however, be submitted to the FAA Area Office. Dates for receipt of bids and anticipated award of contract become particularly important when the expiration date of minimum wage rates becomes a factor.

- b. Negotiations (Sections 151.47(a) and 151.45(d) FAR). There will be no advertisement for bids, unless required by local law, for construction contracts for \$2,000 or less or for owner removal contracts. The sponsor may, therefore, start negotiations as soon as the FAA has approved plans and specifications. Plans and specifications for an owner removal contract may be less formal than for construction contracts and, in some cases, may consist of the owner's proposal with identifying drawings. They should show the scope and location of the work well enough to allow consideration of reasonableness of costs.

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- c. Award (Section 151.47(e) FAR). Following receipt of bids, the sponsor must send a tabulation of bids to the FAA Area Office. For negotiated contracts, of course, there is no tabulation of bids, but FAA written concurrence is necessary here also.

The FAA reviews the information submitted to verify reasonableness of contract costs and conformance to the Grant Agreement and it notifies the sponsor of FAA concurrence. The allowable project costs of the work on which Federal participation is computed, may not be more than the bid of the lowest responsible bidder even if the sponsor lawfully selects a bidder other than the lowest responsible bidder.

- d. Execution of Contract (Section 151.45(e) FAR). After FAA concurrence in award, the sponsor should execute contracts to conform to local law and requirements of the specifications including the bond requirements. This action should take place after acceptance of the Grant Agreement (See Paragraph 18c).

The sponsor should, before issuing a "Notice to Proceed", send three conformed copies of the contract, to the FAA Area Office.

- e. Subcontracts. The sponsor is responsible for assuring that subcontracts conform to contract requirements including the applicable requirements of Sections 151.49 and 151.54 FAR as well as those required by the Secretary of Labor as set forth in FAR 151, Appendix H. Although the FAA Area Office will not have copies, field * representatives will, during period inspections, check subcontracts for compliance with these regulations.

- f. Change Orders and Supplemental Agreements (Section 151.45(c) FAR). A sponsor may issue a change order under a construction contract or enter into a supplemental agreement only after FAA approval. Procedures are the same as for original approval of plans and specifications.

- (1) Change Orders. A change order is a written order by the sponsor to the contractor, given pursuant to a right of the sponsor to make a change in design, drawings, or specifications, within the general scope of the contract.

- (2) Supplemental Agreements. A supplemental agreement covers work that is not within the general scope of the contract and that the contractor is not obligated to perform. It is a separate contract and requires execution by both parties. Unless the supplemental agreement is for \$2,000 or less, it is subject to a wage rate decision of the Secretary of Labor that is effective on the date of execution of the supplemental agreement.

20. START OF CONSTRUCTION.

- a. Notice to Proceed (Section 151.45(e) FAR). After review of the contract, the FAA Area Office will agree to issuance of a notice to proceed. In the case of sponsor force account, the FAA will advise the sponsor to start construction.
- b. Arrangements for Construction Control. The sponsor should not allow start of construction until all arrangements are made for adequate engineering, supervision, inspection, and testing (See Paragraph 21(b)). In order not to jeopardize Federal participation in construction costs, the sponsor should provide written assurance to the FAA Area Office that he has, through his engineer, reviewed the qualifications of personnel who will control construction and determined that they are qualified to perform the construction control work.
- c. Land Title (See Project Application, Representation 7(b)). Each Project Application contains a covenant that the sponsor will acquire property interests satisfactory to the Administrator in lands in which it does not hold those property interests at the time it submits the application prior to the start of any construction thereon. The FAA may concur in the start of construction on such land, even though title thereto has not been acquired, if the sponsor submits satisfactory evidence that it has acquired the immediate right of entry and possession. The concurrence will be subject to a condition that the FAA will not pay or be obligated to pay for any construction on such land unless and until the sponsor submits satisfactory evidence that it has acquired satisfactory property interests therein.

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- d. Preconstruction Conference. (Sections 151.45, 151.49, 151.54, and 151, Appendix H, FAR). The sponsor should, prior to start of construction, arrange for a preconstruction conference. Participants should include the sponsor's engineer, other appropriate sponsor representatives, the contractor, and FAA representatives affected by the project. The purposes of the conference are to assure that sponsor and his contractors understand all applicable requirements and to agree on procedures and plans for construction. *
- (1) Labor and Equal Employment Opportunity. The FAA Area Office will provide current information about labor and equal employment opportunity requirements in FAAP contracts. Discussion during the conference should assure an understanding of respective responsibilities of the contractor, the sponsor, and the FAA for enforcement of these requirements.
 - (2) Construction Schedules and Procedures. The contractor's planned schedule and intended sources of supply of materials will affect the sponsor's construction control requirements and the FAA's plans for inspections. The contractor should provide pertinent information during the conference.
 - (3) Sponsor's Construction Control. Discussion should include the specific tests required to assure conformance to specifications, the plans of the sponsor's engineer to conduct these tests, and other engineering control.
 - (4) Airport Safety. Measures to insure safe operation of aircraft during construction should be discussed. They include control and marking of construction equipment, advance arrangements for construction near operating areas, and protection of existing facilities.

21. PROJECT SUPERVISION, INSPECTION AND TESTING.

- a. Inspections by FAA Representatives. The FAA is not a party to the contract between the sponsor and contractor and does not have direct responsibility for enforcement of the contract. FAA representatives, in determining conformity to contract requirements, deal, therefore, with sponsor representatives instead of the contractor. They supplement physical inspections by scrutinizing test reports and opportunity provisions. Agency representatives will notify the sponsor if inspection does not show conformity to contract requirements.

- b. Sponsor's Supervision, Inspection, and Testing. The sponsor's engineer, by concurrence and certification of the Periodic Cost Estimate, FAA Form 1629, states: "I have examined this periodic cost estimate and concur in the certificate of the contractor and certify that the materials used and the construction accomplished meet the requirements of the plans and specifications, as evidenced by certified test and inspection reports included in the project records." This statement reflects the responsibility of the sponsor's engineer for engineering construction control.

The amount of on site supervision will depend on the amount and nature of the work in progress. Tests, when required, should be made with such frequency as to assure construction in accordance with the approved plans and specifications. The sponsors should assure inspection at whatever locations, on site or off-site, necessary to assure conformance.

- (1) Requirements for Tests. Advisory Circular 150/5370-1A, Standard Specifications for Construction of Airports, lists the tests required for each of the construction items of these standard specifications. If the project specifications contain modifications of these standard specifications or include other specifications, the engineer should make appropriate adjustments in the tests.
- (2) Methods of Obtaining Tests. The results of each test must be available in time for the sponsor's engineer to require the contractor to correct nonconforming work. Some manufactured materials and supplies may be purchased with vendors' certificates of test results or certification of conformity to a specification. The engineer may use these certificates as the required tests subject to his own inspection and retest if

desired. Other tests for the project may require equipment and skills that the engineer prefers not to furnish on the site. For these tests he may choose to use the services of separate testing laboratories. Certain testing can be performed only at the site or close enough to the site to allow immediate correction of deficiencies. These include soil compaction tests and the tests to allow adjustments in design of paving mixtures.

- (3) Record of Tests. Copies of test results should be in the engineer's project records and available for FAA inspection. Unless the FAA Area Office otherwise directs, the engineer should send a copy of each test result to that office at least twice each week.
- (4) Orders to Stop or Resume Work. The engineer, because of weather or other conditions affecting quality of work, may issue orders to the contractor to either stop work or resume work. These require no FAA approval. The engineer should, however, send a copy of each order to the FAA Area Office.
- (5) Change Orders and Supplemental Agreements. The engineer may, on his own authority, make field adjustments within the limits of the plans and specifications. If, however, a change is of the type that requires an order to or agreement with the contractor to alter the design of the project or modify project specifications, the order or agreement may be delivered to the contractor only after FAA approval. (See Paragraph 19f.)

c. Compliance with Other Contract Requirements (Sections 151.49, 151.54, and 151.54A FAR). A sponsor who is required to include in a construction contract the labor provisions required by Section 151.49 FAR and the equal employment clause required by Sections 151.54 and 151.54A, FAR, must require the contractor to comply with those provisions and must cooperate with the FAA in effecting that compliance. For this purpose the sponsor should -

- (1) Keep and preserve, for a three year period beginning on the date the contract is completed, each affidavit and payroll copy furnished by the contractor and make them available to the FAA, upon request, during that period;
- (2) Check payrolls and affidavits to determine whether the contractor is complying with the required labor provisions;

CHAPTER 6. FINANCIAL PROCEDURES

22. SPONSOR RECORDS OF PROJECT COSTS (Section 151.55(a) FAR). The FARs require each sponsor to maintain adequate accounting records to allow appropriate personnel of the FAA to determine all funds received, and to determine the allowability of all incurred costs of the project.

- a. Accounting System. The accounting record may conform to the sponsor's regular accounting system provided the record allows identification of receipts and expenditures distinct and apart from other accounting records. One manner of providing this identification is the establishment and maintenance of a separate book account (subsidiary ledger account) for the individual project.

The importance of accounting records as a basis for payments of Federal funds is such that the FAA Area Office will furnish detailed guidance to assure an adequate record. If the sponsor's official responsible for the accounts requires further explanation, the FAA Area Office may arrange for assistance of an FAA auditor to clarify requirements.

- b. Cost Classifications. The sponsor must segregate and group project costs so that it can furnish, on the notice, cost information in the following classifications:

- (1) Purchase price or value of land.
- (2) Incidental costs of land acquisition.
- (3) Costs of contract construction.
- (4) Costs of force account construction.
- (5) Engineering costs of plans and design.
- (6) Engineering costs of supervision and inspection.
- (7) Other administrative costs.

- c. Disbursements. A sponsor will facilitate audit, minimize disallowance of claimed costs, and help expedite payment of Federal funds by making disbursements in a manner that will insure that costs are properly chargeable to the project.

The following recommended procedures will assist in assuring correct disbursements:

- (1) Centralized Control. One sponsor official who is familiar with the project and FAA requirements may be appointed to have approval authority for all invoices. Written approval will provide an endorsement of the expenditure prior to payment or recording as an account payable.
- (2) Invoices and Checks. Checks or warrants serve as evidence of amount of each payment. In order to identify the amount as a project cost, however, a supporting invoice should describe the service or item for which payment is made.

d. Supporting Documents (Sections 151.55(d) and 151.63(b) FAR). The FAA, in auditing the project account, must not only determine the amount of each expenditure and distinguish it as a project cost, but it also must assure that each expenditure conforms to all requirements of the Grant Agreement. Auditors will, therefore, examine all supporting information used as a basis for the checks and invoices. The following is a summary of some supporting documents, details of which will be furnished by the FAA area office.

- (1) Land. Purchase agreements, legal evidence of acquisition, appraisal reports if applicable, records of disposal of improvements; and, for incidental costs such as fees and surveys, the information discussed in subparagraph d(3).
- (2) Construction and Engineering Contracts. The total contracts including bonds, provisions for liquidated damages, records of quantities for payment, change orders, supplemental agreements, and subcontracts.
- (3) Force Account. Includes sponsor's force account construction, cost type charges under engineering or construction contracts, and the engineering or incidental costs of the sponsor that are not covered by any contract in the project. Detailed payrolls, invoices for equipment, rental, tools, and materials, travel and subsistence records, and computations of subsidiary costs.

23. PERIODIC PAYMENT OF FEDERAL FUNDS (SECTIONS 151.61 and 151.63 FAR). The sponsor may apply for and receive partial grant payments of Federal funds on a monthly basis. The aggregate amount of partial payments may not exceed 90% of the United States share of the estimated cost of

- (3) Interview employees to assure that they are classified according to the duties they perform and are paid the applicable minimum wage rate;
 - (4) Verify contractor's compliance with equal employment opportunity (EEO) requirements.
 - (5) Verify inclusion of required clauses in subcontracts.
- d. Final Inspection (Section 151.63(b)(1) FAR). The FAA will consider completed work acceptable for Federal participation in costs after a final inspection made jointly by representatives of the contractor, the sponsor, and the FAA. The preferable final inspection includes inspection of all work covered by a prime contract. A sponsor may wish to accept a completed work item or a schedule of work items and be willing to release the contractor from further contract obligations. In this case, the FAA may agree to a final inspection on this item alone.

When a sponsor determines that, from the sponsor's standpoint, the contractor's work is ready for acceptance, the sponsor should arrange for the joint final inspection. The FAA will participate in physical inspection and verify evidence of conformity to all project requirements including plans and specifications. When the work is acceptable to the FAA, the FAA Area Office will so notify the sponsor.

development in the project or of the maximum obligation of the United States stated in the Grant Agreement, whichever is lower. When the project is completed or qualifies for a semi-final payment, the Federal Government pays the total United States share less the amount of prior payments. This procedure in no manner establishes a responsibility of FAA for payments to a contractor. The sponsor is responsible for payments to the contractor in accordance with the terms of the construction contract and should arrange for making payments through a procedure separate from Federal Grant Payments.

The sponsor requests payment by the Application for Grant Payment, FAA Form 5100-6 accompanied by a Summary of Project Costs, FAA Form 1630, a Periodic Cost Estimate, FAA Form 1629 for each contract for construction and whatever supporting information is necessary for the to determine allowability of costs. (See Section 151.57 FAR.)

- a. Periodic Cost Estimate, FAA Form 1629. The Periodic Cost Estimate (Appendix 6-1) applies to each individual contract in a project with the exception of owner removal contracts. It includes the contractor's certification of the work accomplished, the engineer's concurrence in the contractor's certification, and the engineer's certification that the work conforms to plans and specifications. The contractor and the sponsor's representative should carefully follow instructions on the back of the FAA Form 1629. The quantities and amounts, items 15(c) and (f), will, in many instances, vary from those shown in the original contract documents. They should reflect the best estimates, as of the date the form is prepared, of the probable final quantities and amounts due under the contract, after field adjustments, change orders, and periodic recomputations.

Unless requested by the FAA area office, no supporting information is required with the Periodic Cost Estimate.

- b. Summary of Project Costs, FAA Form 1630. The Summary of Project Costs (Appendix 6-2) shows all costs in the FAAP project. Careful preparation in accordance with instructions on the back of the form will provide an accurate basis for the Application for Grant Payment, FAA Form 5100-6 . The form itself may provide sufficient supporting information by means of adequate breakdowns and notations. The sponsor may, however, provide attachments if appropriate. Examples of supporting information:

- (1) Land (Section 151.59 FAR). A sponsor may apply for Federal payment for land acquisition any time after execution of the Grant Agreement provided FAA has approved title evidence.

Identify evidence of FAA approval for the parcels on which this action has been taken. List incidental costs separately.

- (2) Construction.
 - (a) Construction Contracts. FAA Form 1629 is supporting information.
 - (b) Owner Removal Contracts. Show progress to date.
 - (c) Sponsor Force Account. Breakdown to totals shown in sponsor's accounting records for materials, equipment, labor, and supervision.
- (3) Engineering, Project Design, Plans, Specifications, Construction Supervision, Inspection, and Tests. Show costs incurred by the categories of the engineering agreement, if any. For costs not covered by agreement, show totals of these cost type charges that have been incurred.
- (4) Administrative. Show total of cost type charges shown in sponsor's accounting record.
- (5) Special Supporting Information - Partial Advance Payments. (Section 151.61 FAR.) Item 10 of FAA Form 1630 reflects authority granted by the regulations to make payment on the basis of costs of development expected to be accomplished within 30 days of the date of application for payment. The authority is seldom used because the advantages have been substantially reduced by FAA streamlined procedures for partial grant payments that result in prompt payment of the United States share of project costs. Advance payments pose a special problem to the FAA area office in reviewing estimates for anticipated work.

In a special case where the sponsor feels the advance payment is urgently needed, he should include an attachment to FAA Form 1630. The attachment should, for contract construction, show computations for work essentially the same as the breakdown in Item 15 of the Periodic Cost Estimate, FAA Form 1629. The attachment for sponsor force account construction should provide, as a minimum, the same type of breakdown that is presented for costs incurred to date.

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c. Application for Grant Payment, FAA Form 5100-6. The Application for Grant Payment (Appendix 6-3) comprises a voucher as a basis for payment of Federal funds. This form, too, has instructions on the reverse side of the form. Applications, prior to completion of the project, will usually be checked "partial-regular" in Item 6. (See the discussion of partial-advance payment in subparagraph b(5).)

(1) Partial Grant Payments (Section 151.61(b)FAR). Although applications for semi-final and final Grant Payments are subject to detailed review and audit, the FAA depends substantially on the computations and certifications of the sponsor for partial Grant Payments. A partial Grant Payment does not represent a final determination of allowability of project costs. The FAA area office will make deductions (Item 16 of the form) if supported by facts, when an item is obviously unallowable such as for noncompliance with special conditions in the Grant Agreement, or to delete work not in the project, or to correct computations. A deduction from a partial Grant Payment is also required if the total estimated United States Share (Item 12D Line 7) exceeds 90% of the Maximum Grant (Item 11) or 90% of the latest revised total estimated cost of the project exclusive of contingencies, whichever is less. The basis for computation of the percentage of revised total cost does not include estimated costs for land not yet acquired unless negotiations assure a firm price and acquisition within 30 days.

(2) Semi-Final Grant Payments. (Section 151.63(a)FAR.) Whenever development on a project is delayed or suspended for an appreciable time for reasons beyond the sponsor's control, the FAA may approve a semi-final Grant Payment of allowable costs up to the maximum grant (Item 11 of FAA Form 5100-6). FAA procedures are the same as those for determination of allowable costs after project completion, including audit. It is not feasible, therefore, to process a semi-final Grant Payment for each seasonal work stoppage. On the other hand, there are instances where the balance of the Federal share is substantial and the completion of the project depends only on a development item that the sponsor is not capable of completing for several months. In such an instance, the FAA may process a semi-final Grant Payment provided there are no other unsatisfied project requirements and no lack of sponsor diligence to complete the development.

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Another type of semi-final Grant Payment results when a sponsor submits an application for final Grant Payment but the FAA determines, during processing, that the sponsor may be entitled to further payment for unclaimed allowable costs. In this case, the FAA considers the application as semi-final, giving the sponsor an opportunity to submit a later final application.

24. PROJECT COMPLETION - FINAL GRANT PAYMENT (SECTION 151.63(b)(1) FAR).

The sponsor may apply for final payment whenever a project is completed in accordance with the Grant Agreement. If the remaining Federal share, payable within the 90% limitation for partial Grant Payment, is substantial, a sponsor may choose to submit two substantially identical applications for payment. One may be processed to obtain early payment up to the 90% limitation and the other may be processed after audit and final determination of allowable project costs.

- a. Requirements for Construction (Section 151.63(b) FAR). The sponsor should apply for final Grant Payment after the required final inspection of all construction (See Paragraph 21d). The sponsor should also furnish final "as constructed" plans.
- b. Requirements for Audit and Final Determination of Cost (Section 151.63(c)). After receipt of the final application for Grant Payment, the FAA Area Office will arrange for an audit of the sponsor's project records (See Paragraph 22). Based upon the final audit, final inspection, as constructed plans, and documents and required supporting information, the FAA will then determine the total amount of allowable project costs and process payment for the remainder of the United States share.
- c. Relationship to Grant Amount (Section 151.31 FAR). If the total amount of the United States share is equal to or less than the amount shown in the Grant Agreement, the sponsor needs to take no further action. Payment of the remainder of the United States share will complete the financial procedures for the project.

If the total allowable project costs exceed the Grant Amount, the sponsor may request an amendment to the Grant Agreement to increase the Grant Amount to a sum equal to allowable project costs but not over 10% of the initial Grant Amount. In this case, the sponsor may, after execution of the amendment, submit another application

* for Grant Payment to cover the unpaid balance. All requests for increase must be accompanied by a written justification setting forth the facts surrounding the unforeseen contingency or overrun and a statement of circumstances necessitating the increase. *

FEDERAL AVIATION AGENCY PERIODIC COST ESTIMATE						Form Approved Budget Bureau No. 04-R008.1			
1. SPONSOR'S NAME AND ADDRESS						PAGE 1 OF PAGES			
						5. PROJECT NO.			
2. OFFICIAL NAME AND LOCATION OF AIRPORT						6. ESTIMATE NO.			
						7. PERIOD ENDING			
3. CONTRACTOR'S NAME AND ADDRESS						8. DATE ESTIMATE PREPARED			
						9. PERCENT OF PHYSICAL COMPLETION %			
4. DESCRIPTION OF WORK						10. SPONSOR'S CONTRACT NO.			
						11. AMOUNT OF CONTRACT			
						12. COMPLETION TIME (Indicate whether work or calendar days)			
						13. DATES			
A. WORK TO START		B. WORK STARTED		C. COMPLETION DUE		D. EST. OR ACT. COMP.		14. NO. OF DAYS CONTRACTOR IS	
								AHEAD IN ARREARS	
15. BREAKDOWN OF PERIODIC COST ESTIMATE (If additional space is required, use continuation sheet, FAA Form 1629A)									
ITEM NO. (a)	DESCRIPTION OF ITEM (b)	LATEST REVISED DETAILED ESTIMATE				WORK PERFORMED TO DATE			
		QUANTITY (c)	UNIT (d)	UNIT PRICE (e)	AMOUNT (f)	QUANTITY (g)	AMOUNT (h)	PER CENT (i)	
16. CERTIFICATION ON CONTRACTOR - I HEREBY CERTIFY that the work performed and the materials supplied to date, as shown on this periodic cost estimate, represent the actual value of accomplishment under the terms of this contract in conformity with approved plans and specifications; that the quantities shown were properly determined and are correct; and that there has been full compliance with all labor provisions included in the contract identified above, and in all subcontracts made under that contract.									
DATE						CONTRACTOR'S NAME			
BY TITLE						SIGNATURE			
17. CONCURRENCE AND CERTIFICATION OF SPONSOR'S ENGINEER - I have examined this periodic cost estimate, and concur in the certificate of the contractor and certify that the materials used and the construction accomplished meet the requirements of the plans and specifications, as evidenced by certified test and inspection reports included in the project records.									
DATE						SIGNATURE, SPONSOR'S ENGINEER			

INSTRUCTIONS

Copies of these forms for each contract shall be submitted in support of each application for grant payment.

The original and two copies of this form and continuation sheets are to be submitted by the sponsor to the FAA Area Office having jurisdiction over the area where the work is performed.

All estimates called for on this form and the Periodic Cost Estimate Continuation Sheet, FAA Form 1629A, will be as of the end of the period for which the form applies as indicated in Item 7.

Item 1—Enter the name and address of the public agency sponsoring the project.

Item 2—Self-explanatory.

Item 3—Enter the name and address of the contracting individual and/or agency who is constructing this project.

Item 4—List all airport development to be accomplished under the contract for which this estimate is submitted.

Item 5—Enter the project number indicated on page 1 of the Grant Agreement, FAA Form 1632.

Item 6—Enter the consecutive number of the periodic cost estimate in the order in which such estimates are submitted for the contract.

Item 7—Enter the closing date of the period for which payment is requested.

Item 8—Self-explanatory.

Item 9—Enter the contractor's or sponsor's estimate of the percentage of physical completion of the contract.

Item 10—Enter the number the sponsor has assigned for his identification of the project to the contract for which this estimate is submitted.

Item 11—Enter the contract amount stipulated in this construction contract or as amended by approved change orders.

Item 12—Enter the time in days (work or calendar) for completion of this project as stipulated in the contract.

Item 13—A. Enter official starting date as specified in notice to contractor to proceed.

B. Enter the actual date the work is started.

C. Enter the date on which work is to be completed under the terms of the construction contract.

D. Enter an estimated or actual date of completion based on the current status of work.

Item 14—Enter the estimated days that the contract is either ahead or in arrears of schedule. Indicate whether number is calendar or work days.

Item 15—(a) In the case of unit price contracts this column will contain the construction item numbers as scheduled in the contract for which this estimate is submitted.

(b) Give a brief description of each construction item scheduled in the contract for which this estimate is submitted.

(c), (d), (e), and (f) In the case of lump sum contracts the information to be given for column 15(f) will be taken from the contract document unless the contract has been modified by an approved change order. For unit price contracts, the information to be given in columns 15 (c) and (f) must reflect the latest and best information available as to the probable total final costs of each item.

(g) and (h) Enter the actual quantity of work completed and cost thereof in place by the end of the specific period which is indicated in item 7. The grand total for these two columns will reflect the actual cost incurred to date for work in place and materials supplied. If material is included, it should be listed as an item.

(i) This column reflects the percentage of the latest revised detailed cost estimate incurred to date for each described item. The total percentage of the latest revised total cost estimate incurred to date for the contract will be given at the bottom of this column. (This is computed by dividing the totals in 15(h) by those in 15(f).)

Item 16—Enter the name of the contractor, the signature of the contractor's representative, title, and the date signed.

Item 17—Enter the signature of the sponsor's engineer and the date signed.

REMARKS

INSTRUCTIONS

AC 150/5100-3A
9/20/68

This form is to be submitted with and in support of any application for grant payment.

The original and two copies of this form, with supporting papers attached to each copy, are to be submitted to the FAA Area Office having jurisdiction over the area in which the airport is located. If more space is required, use additional copies of this form.

Items 1 and 2—Enter the project and contract numbers as indicated on page 1 of the Grant Agreement, FAA Form 1632.

Item 3—Self-explanatory.

Item 4—Enter the closing date of the period for which payment is requested.

Item 5—Self-explanatory.

Item 6—Enter the maximum amount of Federal funds as specified in the Grant Agreement or amendments thereto.

Item 7—The various items composing the cost of the project will be listed and described under five main classifications:

- (1) Land costs
- (2) Construction costs
- (3) Engineering costs
- (4) Administrative costs
- (5) Contingencies

Under "Land costs" each parcel of land which will be charged to the project will be listed separately. As the last item under this classification all incidental costs of acquiring land will be shown as one item.

Under "Construction costs" each contract will be shown separately. Also force account work, if any is involved in the project, will be shown. If there are contracts which have not been awarded, the work involved will be listed and described followed by the notation "unawarded."

"Engineering costs" will be listed in two categories:

- (a) Designs, plans and specification, and
- (b) Supervision and inspection

"Administrative costs" may be shown as one item and no breakdown of these costs is required. However, the FAA may request a supplemental breakdown of administrative costs from the sponsor whenever it is necessary or desirable.

Any amount included for contingencies in the latest revised total estimate of costs will be shown as one amount. This amount will be shown only in column 8 of this form.

Item 8—The latest and best information as to the probable total final cost of each item and main classification will be shown. This information should be revised as often as necessary. For the construction contracts which have been awarded, the amount shown in this column will be taken from the total amount shown for the same contract in column 15(f) on FAA Form 1620.

Item 9(a)—The actual cost of each item and main classification, or the portion of such cost, which has actually been incurred as of the date of the report, will be shown. For construction contracts which have been awarded, the amount shown will be taken from the total for the same contract as reported in column 15(h) on FAA Form 1620. Do not use when partial-advance payment is requested.

Item 9(b)—The percentage of actual costs incurred to date for each item and main classification will be shown. This will be computed by using the amount of the actual cost incurred to date shown in column 9(a) as related to the total estimated cost shown in column 8.

Item 10—To be completed only when this form accompanies an application for a partial-advance grant payment. The date shown herein must be the same as that given in column 10(b) of FAA Form 1625-1.

Item 10(a)—The aggregate estimated total cost incurred and to be incurred as of the date specified in the main column heading for each item and main classification will be shown.

Item 10(b)—The percentage of the estimated total cost incurred and to be incurred for each item and main classification will be shown. This will be computed by using the amount shown in column 10(a) for each item and main classification as related to the similar item and main classification shown in column 8.

NOTE: Immediately following the itemization of a main classification in columns 8, 9(a), and 10(b) show a total for the classification. Show a grand total for all classifications at the end of the form.

Item 11—Self-explanatory.

REMARKS

Form Approved. Budget Bureau No. 04-R0007

DEPARTMENT OF TRANSPORTATION—FEDERAL AVIATION ADMINISTRATION					1. PROJECT NO. ASSIGNED BY FAA	
APPLICATION FOR GRANT PAYMENT <i>Type or print data requested. See instructions on reverse before completing form. Use reverse side for any remarks to information furnished below.</i>						
2. NAME OF SPONSOR		3. ADDRESS		4. APPLICATION NO. (Consecutive number assigned by sponsor)		
5. NAME OF AIRPORT		6. LOCATION		7. DATE OF APPLICATION		
8. (Check one) <input type="checkbox"/> PARTIAL-REGULAR <input type="checkbox"/> PARTIAL-ADVANCE <input type="checkbox"/> SEMI-FINAL <input type="checkbox"/> FINAL				9. PERCENT PHYSICAL COMPLETION %		
10. GRANT AGREEMENT CONTRACT NO. (Assigned by FAA)			11. MAXIMUM AMOUNT OF GRANT (From grant agreement or amendment) \$			
12. COMPUTATION FOR GRANT PAYMENT —In accordance with the provisions of the Grant Agreement on this project, the sponsor hereby applies for a grant payment as follows:						
LINE NO.	CLASSIFICATION OF COSTS	SPONSOR'S STATEMENT OF LATEST REVISED TOTAL ESTIMATED COST A	SPONSOR'S ESTIMATE OF THE AGGREGATE OF TOTAL COSTS INCURRED AND TO BE INCURRED PRIOR TO (Date) _____ B	ESTIMATED UNITED STATES SHARE OF COSTS		
				PERCENT C	AMOUNT D	
1	LAND	\$	\$		\$	
2	CONSTRUCTION					
3	ENGINEERING					
4	ADMINISTRATIVE					
5	TOTALS (Excluding contingencies)	\$	\$		\$	
6	TOTAL AMOUNT OF GRANT PAYMENTS PREVIOUSLY RECEIVED (See Instructions for handling of pending applications)			\$		
7	AMOUNT OF THIS APPLICATION			\$		
CERTIFICATION OF SPONSOR						
<p>I CERTIFY that the above application for grant payment is correct and just, and for a payment which has not been received. I further certify that the cost estimates as set forth on this application are true and correct, and relate only to items of airport development contemplated by the Grant Agreement for this project; and that all such costs which have been incurred for work already accomplished have been incurred in connection with airport development accomplished in accordance with the Grant Agreement and applicable plans and specification. To the extent that this application represents costs to be incurred for airport development not yet accomplished, I further certify that the aggregate of expenditures to be made from this advance grant payment will not at any time exceed the costs of airport development work which has been performed up to the time of such expenditure.</p>						
13. SIGNATURE		14. TITLE			15. DATE	
FOR FAA USE ONLY						
16. AMOUNT DEDUCTED				\$		
17. AMOUNT APPROVED FOR PAYMENT				\$		
CERTIFICATION OF AUTHORIZED FAA OFFICIAL						
<p>To the extent that this application represents costs to be incurred for airport development not yet accomplished, I HEREBY CERTIFY that the sponsor's estimates have been reviewed by me and in my opinion are reasonable and proper. To the extent that this application represents costs which have been incurred for airport development already accomplished, I HEREBY CERTIFY that the physical construction work has been inspected under my direction at reasonably frequent intervals by qualified employees of the Federal Aviation Administration; that through such inspections, and by other means and checks recognized as good engineering practice, I am satisfied that the work accomplished is in accordance with the plans and specifications and provisions of the Grant Agreement; and that the value of construction work performed as claimed above is supported in detail by periodic cost estimates approved by the sponsor. Other claimed project costs appear to be reasonable. Subject to actual verification of all stated costs by Federal Aviation Administration audit prior to the payment of final grant, I recommend payment of this application for grant funds in the amount of</p>						
18. DATE		19. SIGNATURE		20. TITLE		

INSTRUCTIONS

(This form is to be used in making any application for grant payment)

Unless there is a requirement to submit this form to a state aviation agency or other agent, the sponsor should submit the form directly to the FAA area office, which will inform the sponsor as to the number of copies and supporting documents required.

ITEMS 1 THROUGH 11—Self explanatory.

ITEM 12—COMPUTATION FOR GRANT PAYMENT

Col. A—Enter the amount of the latest revised total estimated cost for each cost classification as shown by the sponsor on the latest FAA Form 1630, excluding contingencies.

Col. B—When this application is used for a partial-regular payment, the closing date of the period for which payment is requested is to be entered in this column; this date should be the latest date given under "period ending" on any of the accompanying Periodic Cost Estimates, FAA Form 1629, and will usually be the end of the month. Enter for each classification of cost the total cost incurred as of the specified date. When this application is used for partial-advance payment the closing date of the period for which payment is requested must not exceed 30 days from the date of this application. Enter, for each classification of cost, the aggregate estimated total cost incurred and to be incurred as of the specified date.

ITEM 12 (Continued)

Col. C—Enter the United States percentage share of allowable project costs for each cost classification.

Col. D—Enter the estimated amount of the United States share of the amounts shown in Col. (B).

Col. D, Line 6, Total Amount Of Grant Payments Previously Received—Enter the cumulative amount of all previous Grant Payments that have been received. If payment has not been received for an application that has been filed, consult with the FAA area office to determine amounts to be included in the cumulative total.

Col. D, Line 7, Amount Of This Application—Enter the amount of Grant Payment requested in this application; this will be computed by subtracting Line 6, Col. D from Line 5, Col. D.

ITEMS 13, 14, AND 15—Enter, on each copy submitted, the signature of the sponsor's representative executing the form, his title, and the date signed.

ITEMS 16, 17, 18, 19 AND 20—To be completed by FAA.

REMARKS

FEDERAL AVIATION ADMINISTRATION

AIRPORTS SERVICE

Regional, Area, and District Office Addresses

EASTERN REGION

- * Chief, Airports Division, EA-600 *
Federal Aviation Administration
- * Federal Building - Room 329 *
John F. Kennedy International Airport
Jamaica, New York 11430
MAIL: Federal Building
John F. Kennedy Int'l. Airport
Jamaica, New York 11430

N.Y. City Metro. 1/, N.J., DELAWARE
EASTERN PENNSYLVANIA 2/

- * Airport Operations Branch, EA-640
Federal Aviation Administration
Colonial Bldg.
181 S. Franklin Ave.
Valley Stream, New York 11581 *

MAINE, N.H., VERMONT, MASSACHUSETTS,
RHODE ISLAND, CONN., N.Y. (except
NYC metro area)

- * Airports Branch Chief, BOS-600 *
Federal Aviation Administration
154 Middlesex Street
Burlington, Massachusetts 01803

MARYLAND, VIRGINIA, WEST VIRGINIA,
DISTRICT OF COLUMBIA

- * Airports Branch Chief, DCA-600 *
Federal Aviation Administration
900 South Washington Street
Falls Church, Virginia 22046

OHIO, KENTUCKY, W. PENNSYLVANIA 3/

- * Airports Branch Chief, CLE-600 *
Federal Aviation Administration
Westview Building
21010 Center Ridge Road
Rocky River, Ohio 44116

- 1/ N.Y. Metro. area includes NYC and counties of Nassau, Suffolk, Westchester, Rockland, Orange, Putnam, Dutchess, Ulster, and Sullivan.
- 2/ Eastern Pennsylvania includes counties of Tioga, Clinton, Center, Huntington, Franklin, and all counties east thereof.
- 3/ Western Pennsylvania includes counties of Potter, Cameron, Clearfield, Blair, Bedford, Fulton, and all counties west thereof.

SOUTHERN REGION

- * Chief, Airports Division, SO-600* ALABAMA, MISSISSIPPI, TENNESSEE
Federal Aviation Administration *Airports Branch Chief, MEM-600 *
3400 Whipple Street Federal Aviation Administration
East Point, Georgia 30320 3400 Democrat Road
MAIL: P.O. Box 20636 Memphis, Tennessee 38118
Atlanta, Georgia 30320 MAIL: P.O. Box 18097
Memphis, Tennessee 38118

GEORGIA, NORTH CAROLINA, SOUTH CAROLINA

MISSISSIPPI

- * Airports Branch Chief, SO-670
Atlanta Airports Operations *
Federal Aviation Administration
3400 Whipple Street
East Point, Georgia 30320
MAIL: P.O. Box 20636
Atlanta, Georgia 30320
- Chief, Airport District Office
Federal Aviation Administration
FAA Building
Jackson Municipal Airport
Jackson, Mississippi 39205
MAIL: P.O. Box 1727
Jackson, Mississippi 39205

FLORIDA, PUERTO RICO, VIRGIN ISLANDS

- *Airports Branch Chief, MIA-600 *
Federal Aviation Administration
FAA/WB Building
Miami International Airport
Miami, Florida 33159
MAIL: P.O. Box 2014, AMF Branch
Miami, Florida 33159

#####

SOUTHWEST REGION

- * Chief, Airports Division, SW-600* ARKANSAS, OKLAHOMA, NE TEXAS 1/
Federal Aviation Administration *Chief, Airport Operations Branch, SW-670 *
Haslet Road Federal Aviation Administration
Fort Worth, Texas 76101 Federal Building
MAIL: Federal Aviation Admin. 819 Taylor Street
P.O. Box 1689 Fort Worth, Texas 76102
Fort Worth, Texas 76101

1/ NE Texas includes counties of Harrison, Gregg, Smith, Henderson, Anderson, Freestone, Limestone, Falls McLennan, Coryell Mills, Brown, Coleman, Runnels, Taylor, Jones, Haskell, Knox, Foard, Hardeman, and all counties north and east thereof.

SOUTHWEST REGION (CONTINUED)

OKLAHOMA

Chief, Airport District Office
Federal Aviation Administration
Federal Building - Room 204
Wiley Post Airport
Bethany, Oklahoma 73008

LOUISIANA, SOUTH TEXAS 2/

* Airports Branch Chief HOU-600 *
Federal Aviation Administration
Bradley Building
8345 Telephone Road
* MAIL: P.O. Box 12638
Houston, Texas 77017 *

NEW MEXICO, WEST TEXAS 3/

* Airports Branch Chief ABQ-600 *
Federal Aviation Administration
* First National Bank Building *
P. O. Box 8502
Albuquerque, New Mexico 87108

- 2/ South Texas includes counties of Panola, Rusk, Cherokee, Houston, Leon, Robertson, Milam, Bell, Lampasas, San Saba, McCulloch, Concho, Menard Kimble, Edwards, Val Verde, and all counties south and east thereof.
- 3/ West Texas includes counties of Terrell, Crockett, Sutton, Schleicher, Tom Green, Coke, Nolan, Fisher, Stonewall, King, Cottle, Childress, Corlinsworth, Wheeler, Hemphill, Lipscomb, and all counties west thereof.

#####

CENTRAL REGION

* Chief, Airports Division CE-600 *
Federal Aviation Administration
Federal Building
601 East 12th Street
Kansas City, Missouri 64106

KANSAS, MISSOURI, IOWA, NEBRASKA
* Chief, Airports Field Branch, CE-670 *
Federal Aviation Administration
4747 Troost Avenue
Kansas City, Missouri 64110

CENTRAL REGION (CONTINUED)

NEBRASKA

Chief, Airport District Office
Federal Aviation Administration
General Aviation Building
Lincoln Municipal Airport
Lincoln, Nebraska 68524

ILLINOIS, INDIANA, MICHIGAN

- * Airports Branch Chief, CHI-600 *
Federal Aviation Administration
3166 Des Plaines Avenue
Des Plaines, Illinois 60018

MICHIGAN

- Chief, Airport District Office
Federal Aviation Administration
* Room 25, Landy Taylor Building
16647 Airport Rd., Rte. #4
Lansing, Michigan 48906 *

WISCONSIN, MINNESOTA, MONTANA,
NORTH DAKOTA, SOUTH DAKOTA

- * Airports Branch Chief, MSP-600 *
Federal Aviation Administration
6301 34th Avenue South
Minneapolis, Minnesota 55450

MONTANA

Chief, Airport District Office
Federal Aviation Administration
FAA Building
Helena County Airport
Helena, Montana 59601
MAIL: P.O. Box 157
Helena, Montana 59601

#####

WESTERN REGION

- * Chief, Airports Division, WE-600 *
Federal Aviation Administration
5651 West Manchester Avenue
Los Angeles, California 90045
- * MAIL: 92007 Worldway Postal Center
Los Angeles, California 90009 *

SOUTHERN CALIFORNIA ^{1/}, ARIZONA

- * Airport Operations Branch Chief, WE-600 *
Federal Aviation Administration
5885 West Imperial Highway
Los Angeles, California 90045
MAIL: P.O. Box 45018
Westchester Station
Los Angeles, California 90045

NORTHERN CALIFORNIA ^{2/}

- * Airports Branch Chief, SFO-600 *
Federal Aviation Administration
831 Mitten Road
Burlingame, California 94010

- ^{1/} Southern California includes the counties of Santa Barbara, Kern, Inyo, and all counties south thereof.
- ^{2/} Northern California includes the counties of San Luis Obispo, Kings, Tulare, Fresno, Mono, and all counties north thereof.

WESTERN REGION (CONTINUED)

WASHINGTON, OREGON

- * Airports Branch Chief, SEA-600 *
Federal Aviation Administration
FAA Building, Boeing Field
Seattle, Washington 98108

UTAH, IDAHO, NEVADA

- * Airports Branch Chief, SLC-600 *
Federal Aviation Administration
* 116 N. 23rd West Street *
- Salt Lake City, Utah 84116

COLORADO, WYOMING

- * Airports Branch Chief, DEN-600 *
Federal Aviation Administration
* 10255 East 32nd Avenue *
- Aurora, Colorado 80010 *

#####

ALASKAN REGION

- * Chief, Airports Division, AL-600 *
Federal Aviation Administration
Headquarters Building
632 Sixth Avenue
Anchorage, Alaska 99501

No Area or District Offices

#####

PACIFIC REGION

- * Chief, Airports Division, PC-600 *
Federal Aviation Administration
* Room 808, 1833 Kalakaua Avenue *
- Honolulu, Hawaii 96812
MAIL: P.O. Box 4009

No Area or District Offices

**DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION
Washington, D.C. 20590**

Official Business



**POSTAGE AND FEES PAID
FEDERAL AVIATION ADMINISTRATION**

CHANGE

AC NO: AC 150/5100-3A

CHG 1

DATE: 11/28/69



ADVISORY CIRCULAR

DEPARTMENT OF TRANSPORTATION FEDERAL AVIATION ADMINISTRATION

CHANGE 1 TO ADVISORY CIRCULAR 150/5100-3A

SUBJECT: FEDERAL-AID AIRPORT PROGRAM
PROCEDURES GUIDE FOR SPONSORS

1. **PURPOSE.** This change transmits revised pages of Advisory Circular 150/5100-3A.
2. **PRINCIPAL CHANGES.** Paragraphs 9 and 10 have been rearranged and revised to reflect recent amendment of FAR 151.31 and Paragraphs 540, 541 of Handbook 5100.1A. These changes provided additional safeguards to assure satisfactory engineering and construction supervision and inspection by sponsors. The handbook change also provided standards of qualification for use by sponsors in selecting supervisory and inspection personnel and greater detail as to the FAA inspectors duties.

The revision of Paragraphs 9 and 10 has provided the opportunity for other minor revisions, correction and updating necessary to keep the advisory circular current. These revisions include in part, Appendices 1-1, 2-1, 4-1, and 6-4.

3.

PAGE CONTROL CHART			
Remove Pages	Dated	Insert Pages	Dated
1	9/20/68	1	11/28/69
1i	9/20/68	1i	11/28/69
1ii	9/20/68	1ii	11/28/69
1v	9/20/68	1v	11/28/69
5(and 6)	9/20/68	5 (and 6)	11/28/69
Appendix 1-1 Page 1	9/20/68	Appendix 1-1 Page 1	11/28/69
Appendix 1-1 Page 2	9/20/68	Appendix 1-1 Page 2	9/20/68
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Initiated by: AS-650

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11/28/69

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Advisory circulars listed in this bibliography bear basic numbers that identify them for ordering. If there has been a change in the original circular, it will be furnished with the basic circular. If there is an entire revision, the revision bearing a letter suffix to the basic number will be furnished.


This bibliography lists the circulars with greatest general application. For a complete list of advisory circulars published by the Federal Aviation Administration, see Advisory Circular 00-2 which is published in the Federal Register. This list contains a brief description of all FAA circulars published on "Airports," many of which relate specifically to the program.

For the following advisory circulars available without charge, write to the Department of Transportation, Distribution Unit, TAD-484.3, Washington, D. C. 20590.

- | | | | |
|---|--------------|---|---|
| * | 150/5060-1A | Airport Capacity Criteria Used in Preparing the National Airport Plan. | * |
| | 150/5060-2 | Airport Site Selection. | |
| | 150/5090-1 | Regional Air Carrier Airport Planning. | |
| | 150/5100-4 | Airport Advance Planning. | |
| | 150/5300-2 | Airport Design Requirements for Terminal Navigational Aids. | |
| * | 150/5300-4A | Utility Airports - Air Access to National Transportation. | * |
| | 150/5320-6A | Airport Paving. | |
| | 150/5325-2A | Airport Surface Areas Gradient Standards. | * |
| | 150/5325-4 | Runway Length Requirements for Airport Design. | |
| * | 150/5325-5A | Aircraft Data. | * |
| | 150/5330-2A | Runway/Taxiway Widths and Clearances for Airline Airports. | * |
| | 150/5330-3 | Wind Effect on Runway Orientation. | |
| | 150/5335-1 | Airport Taxiways. | |
| | 150/5335-2 | Airport Aprons. | |
| * | 150/5340-1B | Marking of Serviceable Runways and Taxiways. | * |
| | 150/5340-4A | Installation Details for Runway Centerline and Touchdown Zone Lighting Systems. | * |
| | 150/5340-5 | Segmented Circle Airport Marker System. | |
| * | 150/5340-13A | High Intensity Runway Lighting System. | * |
| | 150/5340-14A | Economy Approach Lighting Aids. | |
| | 150/5340-15A | Taxiway Edge Lighting System. | |
| | 150/5340-16A | Medium Intensity Runway Lighting System. | * |
| | 150/5370-2 | Safety on Airports During Construction Activity. | |

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Chester G. Bowers
Director, Airports Service

SPONSOR

FEDERAL AVIATION ADMINISTRATION

- (n) Inspects construction.
- (o) Applies for partial grant payments of Federal funds.
(Sections 151.57, 151.61 FAR.)
- (p) Makes partial grant payments.
(Sections 151.61 FAR.)
- (q) Completes construction as required. (Sections 151.45, 151.49, 151.53, and 151.54 FAR.)
- (r) Make final inspection of construction.
(Section 151.63 FAR.)
- (s) Applies for final grant payment.
Submits as constructed plans.
(Section 151.63 FAR.)
- (t) Audits project costs.
Makes final grant payment.
(Section 151.63 FAR.)

*4. FAA ASSISTANCE TO SPONSORS. Dependent upon the sponsors location, FAA District, Area, or Regional Offices are the first points of contact to obtain assistance in the program. In New York City, New York, Atlanta, Georgia, Fort Worth, Texas, Kansas City, Missouri and Los Angeles, California, the Regional Offices should be consulted since they have absorbed former Area Offices. In Anchorage, Alaska, and Honolulu, Hawaii, the Regional Office is also the place of contact. Agency personnel can explain needs for the national system of airports, requirements of regulations, the criteria for evaluating a Request for Aid; and they also provide detailed help in each step of processing, starting with the Request for Aid. See Appendix 6-4 for addresses of these offices. *

actually prepare the material. Each sponsor should, therefore, follow the procedures effective in his state.

7. FAA PROCEDURES IN DEVELOPMENT OF THE ANNUAL PROGRAM (151.21 FAR).

- a. Acknowledgement of Receipt of Requests. The FAA Area Office will acknowledge receipt of each Request for Aid. The recognition of receipt is assurance that the FAA will review and consider the request. The agency takes final action on the request only after formulation of the entire national annual program. (See paragraph 7c and d.) The letter acknowledging receipt cannot, therefore, provide information about final action.
- b. Agency Review. The FAA makes a detailed review of each Request for Aid. The review includes a verification of eligibility of the proposed work items, the need for these items, and the urgency for development at the specific airport. Reviewers assign a priority to each eligible item shown on the request. The assigned priority is a rating that recognizes both the need and urgency at the airport as well as a comparison with other airports in the national system with respect to type and extent of use.
- c. Formulation of the Program. The FAA prepares the complete annual program for the entire Nation by comparison of costs of work items with available funds. Historically, the amount requested far exceeds the amount available. The procedure, therefore, requires the omission from the program of some projects and requested work that may be desirable but that has a lower priority than the projects or work that have been included in the program.
- d. Allocations for Specific Projects. Promptly after approval of the annual program the FAA regional or Area Office notifies each public agency by letter of the action taken on its Request for Aid. If a requested project or portion of a project is omitted from the program, the FAA gives the reasons for the omission. A letter that gives notice of an allocation is a firm reservation of Federal funds conditioned only on the sponsor's promptness in proceeding with development of the project.

- * 8. CHANGES IN THE ANNUAL PROGRAM (SECTION 4(a), FEDERAL AIRPORT ACT). A project as developed must be within the scope of work items covered by the allocation. Minor adjustments in estimated costs of individual work items may be necessary after final engineering work and land acquisition has been completed. Changes in the scope of work or changes that require increased Federal funds require FAA concurrence. *

A sponsor should request the FAA area office to make a program change at the stage of project development when the need for a change becomes evident. A request sent to FAA after plans and specifications are in an advanced stage may cause delay in processing the Project Application and may, in case of agency funding problems, result in denial of the request.

Order the following publications from the Superintendent of Documents,
U. S. Government Printing Office, Washington, D. C. 20402.

150/5370-1A	Standard Specification for Construction of Airports (1968).	\$3.50
150/5320-5A	Airport Drainage (1966).	\$0.45

Please read instructions on reverse before completing form.
PRINT or TYPE data requested.

Form Approved: BOB No. 04-R0005

DEPARTMENT OF TRANSPORTATION - FEDERAL AVIATION ADMINISTRATION				1. DATE OF REQUEST			
REQUEST FOR AID - FEDERAL-AID AIRPORT PROGRAM				August 28, 1969			
2. SPONSORING AGENCY			3. AIRPORT NAME				
Jamesville, U. S. A.			Jamesville Memorial				
4a. NAME, TITLE, AND TELEPHONE NO., SPONSOR'S REPRESENTATIVE			4b. MAILING ADDRESS (No. and Street, City, State, ZIP Code)				
Marshall K. Roman, Code 303-652-2003 Commissioner of Public Works			901 Riley Blvd. Jamesville, U. S. A. 20144				
5. DESCRIPTION OF WORK TO BE ACCOMPLISHED (List by principal work item) (Use nearest dollar)							
ITEM OF WORK A		TOTAL ESTIMATED COST B	SPONSOR'S FUNDS C	FAAP FUNDS REQUESTED D	ESTIMATED DATE WORK WOULD COMMENCE E		
NO.	DESCRIPTION						
1.	Land Acquisition	\$ 29,000	\$ 14,500	\$ 14,500			
2.	Construct Runway 3300' x 60' stub taxiway & apron 250' x 300 and east taxiway turn- around	189,750	94,875	94,875			
3.	Lighting (Med. Intensity System)	27,000	13,500	13,500			
4.	Install wind cone & segmented circle	4,100	2,050	2,050			
5.	Relocate utilities	4,400	2,200	2,200			
6.	Entrance Road	3,000	1,500	1,500			
7.	Relocate Road	9,000	4,500	4,500			
8.	Fencing (13,500')	13,250	6,625	6,625			
9.	Parallel Taxiway	17,200	8,600	8,600			
TOTALS →		\$296,700	\$148,350	\$148,350			
6. ESTIMATED COST OF WORK ITEMS DESCRIBED IN ITEM 5 ABOVE (Use nearest dollar)							
LIST BY ITEM OF WORK NO. A	LAND ACQUISITION B	SITE PREPARATION C	PAVING D	LIGHTING E	BUILDINGS F	MISCELLA- NEOUS G	TOTAL H
1.	\$29,000						\$ 29,000
2.		\$ 98,000	\$ 91,750				189,750
3.				\$ 27,000			27,000
4.						\$ 4,100	4,100
5.						4,400	4,400
6.		1,640	1,360				3,000
7.						9,000	9,000
8.						13,250	13,250
9.		2,200	15,000				17,200
TOTALS	\$29,000	\$101,840	\$108,110	\$ 27,000		\$ 30,750	\$ 296,700
7. STATUS OF SPONSOR'S FUNDS							
AVAILABILITY DATE A	SOURCE OF FUNDS B			AMOUNT OF FUNDS C	DATE FUNDS EXPIRE D		
On hand	Airport development fund (city)			\$ 18,350	do not		
Jan. 1, 1970	Grant from state aviation agency approved by Director, August 6, 1969			35,000	Dec. 31, 1970		
Jan. 1, 1970	General obligation bond election to be held October 15, 1969			100,000	do not		
(Should be equal to or greater than the total for Item 5(c) above) TOTAL →				\$ 153,350			
8a. SIGNATURE OF SPONSOR'S REPRESENTATIVE				8b. TITLE			
/s/ Marshall K. Roman				Commissioner of Public Works			

INSTRUCTIONS

The original and two (2) copies of the request, with supporting papers (continuation sheets, sketches, etc.) attached to each copy, are to be submitted to the FAA Area Office having jurisdiction over the area in which the airport is located.

If more space is required for any item(s) on this form, continue the item(s) on a separate sheet of paper. Continuation items should be identified with the same item numbers used on the form.

Prepare a sketch or sketches of the airport layout and indicate thereon by appropriate legend, the location of each item of work proposed, using the same item numbers as in Item 6 and Item 7. Each sketch is to be the same size as the form and submitted in triplicate (3).

EXPLANATION OF DATA REQUESTED ON THE FORM:

ITEM 1—Enter the date the request is prepared.

ITEM 2—Enter the name of the public agency sponsoring the request.

ITEM 3—Enter the name of the airport.

ITEM 4—Enter the name, title, and address of the official representative of the sponsor with whom further contacts should be made and from whom additional information may be obtained.

ITEM 5—COLUMN A—The proposed development should be listed and described in terms of logical items which will provide for separate and useful units of work. Assign a number to each item of work: (Examples: 1—Construct N/S runway 4,000 ft. x 150 ft.; 2—Construct fire and rescue equipment building; 3—Install lights on E/W runway; 4—Acquire clear zones, N/S runway; etc.).

ITEM 5—COLUMN B—Enter the total estimated cost for each item of work, including engineering costs, administrative costs, and contingencies.

ITEM 5—COLUMNS C AND D—Distribute the total estimated cost for each item of development as follows: 50% sponsor, 50% Federal. Except for (a) certain installations of landing aids (land for ALS; in-runway lighting; high intensity lights and runway distance markers), in these cases, the Federal participation can be up to 75% (b) projects in the Virgin Islands, Federal funds 75%; and (c) projects in public land states where the Federal percentage varies, consult the FAA Area Office for exact percentage for any doubtful items.

ITEM 5—COLUMN E—Enter the date on which it is estimated that you will be prepared to finance and undertake each item of work to be performed if Federal funds are made available.

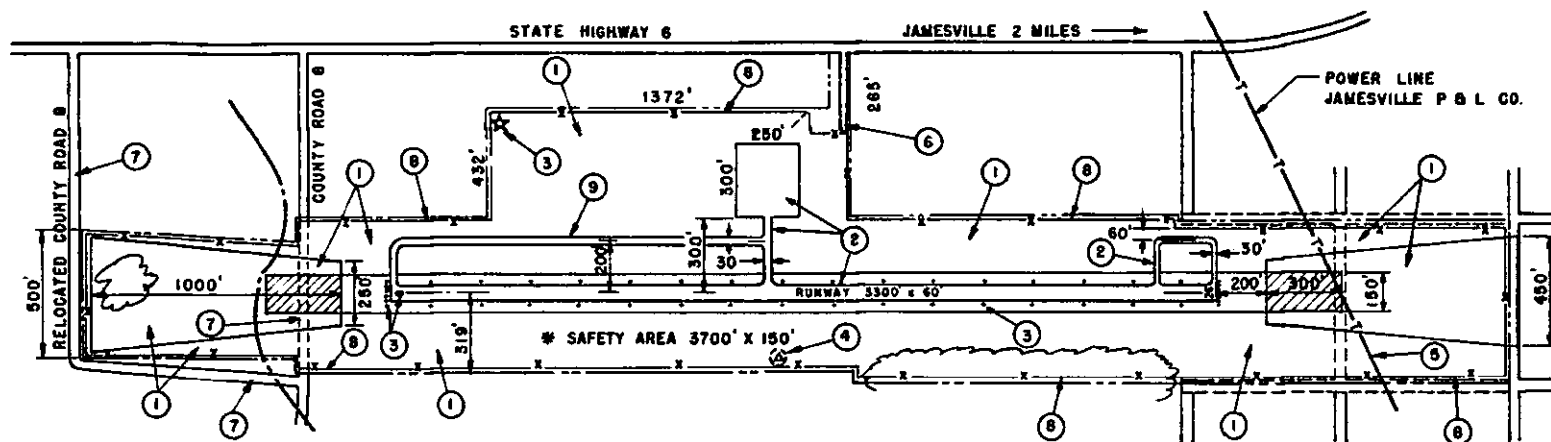
ITEM 6—Summarize the total costs involved for each item of work described in Item 5 according to the following categorical items of: Land; Site preparation (includes but not limited to such work as clearing, grubbing, grading, drainage, etc.); Paving; Lighting; Buildings; and Miscellaneous.

To identify the item of work being summarized list in Column (a) the item of work number assigned the same item of work in Item 5, Col. (a).

ITEM 7—Enter first the amount of funds the sponsor now has on hand and available for airport development. Next, enter by year and approximate month of the year the amount of funds the sponsor will have or anticipates having for airport development during that year. The source of all funds including Federal funds from other agencies should be shown, such as the Appalachian Regional Commission or the Economic Development Administration. Enter expiration date (if any) for each Fund item.

ITEM 8A—All copies of the request submitted to the FAA Area Office must be signed by an authorized representative of the sponsoring public agency.

ITEM 8B—Enter the title of the sponsor's authorized representative signing the request.



PLAN

* FORMERLY DESIGNATED AS THE LANDING STRIP



KIND OF AIRPORT: BASIC UTILITY

WORK ITEMS IN PROJECT REQUEST:

- 1. LAND ACQUISITION.
- 2. CONSTRUCT RUNWAY, TAXIWAY, APRON AND TURNAROUND.
- 3. MEDIUM INTENSITY LIGHTING SYSTEM WITH BEACON.
- 4. WIND CONE & SEGMENTED CIRCLE.
- 5. RELOCATE POWER LINE.
- 6. ACCESS ROAD.
- 7. RELOCATE COUNTY ROAD
- 8. FENCING
- 9. PARALLEL TAXIWAY

LEGEND

- PROPERTY LINE
- PAVING & MARKING
- FENCING
- ☆ BEACON
- • • MEDIUM INTENSITY LIGHTS
- POWER LINE
- WIND CONE & SEG. CIRCLE
- EXISTING ROAD
- STREAM
- EXTENDED SAFETY AREA

Identify work items by the numbers used on FAA Form 5100-3. Although this sketch will not show all the features of a topographic survey, identify each existing feature that will affect the project; roads, pole lines, obstructions etc. Distinguish existing airport development from the development proposed in the project. Show boundaries of presently owned land and of each area of land to be acquired. If the one sketch does not adequately illustrate the Request for Aid, attach supplemental sketches to show more detail of applicable portions.

JAMESVILLE MEMORIAL AIRPORT
JAMESVILLE, U.S.A.

SKETCH TO SUPPORT
FAA FORM 5100-3
F.A.A.P. PROJECT _____
JULY 10, 1969

FIGURE 2-1. SKETCH TO ACCOMPANY FAA FORM 5100-3

Supporting Information for FAA Form 5100-3

Note: This type of information is necessary but this exact format is not required.

TOTALS

Item 1. Land.

For Airport Development.

* 32 acres, west portion of landing area @ \$300	\$9,600
14 acres administrative area @ \$750	10,500
1/2 acre for entrance road lump sum	600
6 acres east portion of landing area @ \$300	1,800

For Clear Zones.

12 acres, in fee, east clear zone @ \$250	3,000
9 acres, in fee, west clear zone @ \$250	2,250

Surveys and Fees.

1,250

Total Land

\$29,000 Land

Item 2. Runway, Taxiway, Apron, Turnaround.

Site Preparation.

Excav. 55,000 c.y. @ \$0.95	\$52,250
Borrow 12,000 c.y. @ \$0.90	10,800
Clear and grub lump sum	5,500
CGM pipe 350' @ \$6.00	2,100
Headwalls 3 @ \$650	1,950
Catch Basins 3 @ \$900	2,700
Seeding 18 acres @ \$350	6,300
Engineering	8,160
Contingencies and Administrative	8,240

Total Site Preparation

\$98,000 Site Preparation

Paving.

33,700 S.Y. @ \$2.25	\$75,825
Engineering	7,585
Contingencies and Administrative	8,340

Total Paving

\$91,750 *

Paving

* Item 3. Medium Intensity Lighting. \$16,500 Rotating Beacon 4,500 Engineering \$1000 Contingencies \$1000	Vault 4,000	\$27,000 Lighting
Item 4. Wind Cone, Segmented Circle Lump sum \$3,500 Engineering \$300 Contingencies \$300		4,100 Miscel- laneous
Item 5. Relocate Utilities. Lump sum \$3,650 Contingencies \$750		4,400 Miscel- laneous
Item 6. Entrance Road. Site Preparation clear and grub \$250 Excav. \$740, Culvert \$240, Seeding \$150 Engineering and Contingencies \$260 Paving 600 s.y. @ \$2.10 \$1,260, Engineering and Contingencies \$100		1,640 Site preparation 1,360 Paving
Item 7. Relocate County Road. Grade and resurface to relocate beyond clear zone. Lump sum \$7,400 Engineering and Contingencies \$1,600		9,000 Miscel- laneous
Item 8. Fencing 13,500 l.f. around airport property @ \$0.90, \$12,150 Engineering and Contingencies \$1,100		13,250 Miscel- laneous
Item 9. Parallel Taxiway. Site Preparation (Grading in Item 2 Selected borrow 2000 c.y. @ \$0.90, \$1,800 Engineering and Contingencies 400		2,200 Site Preparation
Paving. 5675 s.y. @ \$2.25, \$12,769 Engineering and Contingencies \$2,231		15,000 Paving *

Notes: Item 1. Most recent sales for off highway land range from \$250 to \$325 per acre. Owner of 6 acres for administrative
* area is demanding \$800 an acre. Local realtors believe condemnation might be at \$750 per acre. Owners of east clear zone will give easements for \$150 an acre but we propose fee title. Owner of west clear zone will not consider easement but claims he has been offered \$250 an acre for fee title.

Items 2, 3, 4, 6, and 8. Estimates based on bid prices for a road project in this county and for the airport project at Airville in the next county.

Pavement is 1½ inches hot mix, 4" aggregate base course, 4" aggregate subbase for 8000 lb. gross load. *

Item 5. Price is Power Company quotation.

Item 7. County is considering construction of a new road ½ mile west. If they do, the present road will be abandoned instead of relocated. Final decision will be made before Project Application.

Item 9. We understand from discussion with FAA engineers that this item might have a lower priority than the runway. We nevertheless believe that this taxiway is necessary. We will have 22 aircraft from the privately owned Swallow Airport north of town that is being abandoned. Our airport operator will have charter service and believes that safety requires that taxiing aircraft not use the west portion of the runway.

/s/ Marshall K. Roman
Commissioner of Public Works

CHAPTER 3. PROJECT DEVELOPMENT

- * 9. SCHEDULE OF PROJECT DEVELOPMENT. Promptly after receiving an allocation, the sponsor should plan for completion of each of the steps necessary to complete the project. The Chronological Steps in Processing (Paragraph 3) may serve as a framework for a flow chart which sets realistic completion dates to assure continuing progress. The schedule, whether or not in the form of a flow chart, will serve as a basis for FAA consideration of progress in project development. The FAA may withdraw an allocation if the sponsor does not meet scheduled dates for project development.
10. PROJECT ENGINEERING. The sponsor is responsible for all project engineering, including preparation of plans and specifications. He is also responsible for construction supervision, inspections, and tests which are necessary to assure conformance with these plans and specifications.
- a. FAA Advisory Services. As soon as the letters of tentative allocation are issued, the area offices will set a date to meet with the sponsors to explain the services available in the development of the project. These services include such items as engineering guidance and advice on available standards, design, plans, specifications, and airport layout plan. In addition, the sponsor will be briefed on the FAA involvement in the project and what concurrences and approvals are required in the orderly process of the project.
- b. Supervision and Inspection by Sponsors. The FAA must assure and be assured that all construction is accomplished strictly in accordance with the FAA approved plans and specifications. Accordingly, the FAA requires the sponsor to provide adequate, competent, and satisfactory construction supervision and inspection during all stages of the work (FAR 151.45f). The FAA will advise sponsors of this requirement before the sponsor contracts for engineering services.
- (1) FAA Determination. In appropriate cases, the responsible FAA office may determine that the sponsor has previously demonstrated satisfactory engineering and construction supervision and inspection and will so advise the sponsor in writing. *

- * (2) Sponsor's Determination. In all other cases, the sponsor shall be required to notify the FAA in writing that engineering and construction supervision and inspection have been arranged to assure that construction will conform to FAA approved plans and specifications, and that the sponsor has caused a review to be made of the qualifications of personnel who will be performing such supervision and inspection and is satisfied that they are qualified to do so.
- (3) Start of Construction Work. The FAA shall not authorize the issuance of a notice to proceed and the sponsor shall not allow a contractor or subcontractor to begin work until either the sponsor is advised by FAA of its previous demonstration of satisfactory engineering, supervision, and inspection of the written assurance (per the preceeding paragraph) has been made a part of the project records.
- (4) Qualifying Standards. It is appropriate for the sponsor to consider the following items in determining the qualifications of supervisory and inspection personnel:
- (a) Previous experience in the type of work to be done.
 - (b) Knowledge of equipment to be used.
 - (c) Familiarity with testing requirements, procedures, and equipment.
 - (d) Other concurrent responsibilities; i.e., other jobs.
 - (e) Personal behavior patterns.
 - (f) Supervisory experience.
- c. Enforcement. Where an inspection reveals the sponsor is not providing satisfactory supervision and inspection of the construction, the sponsor will be immediately advised that more adequate and satisfactory supervision of construction is necessary under the grant agreement. In most cases, consultation with the sponsor and its engineers will adjust such matters. If this fails, however, the sponsor will be immediately advised that project payments will be suspended until adequate supervision and inspection is provided to assure construction in accordance with approved plans and specifications. *

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- * d. Engineering Agreement. Engineering services may be provided by the sponsor's own personnel, by its agent, or through contract with a qualified engineer or engineering firm. If the sponsor engages the services of an engineering firm, the engineering agreement becomes the basis for FAA determination of adequate engineering arrangements and reasonable costs. To assure that the engineering agreement meets the FAA requirements for the project, the FAA requires the sponsor to send a draft of the proposed agreement to the FAA area office. The FAA area office will review the agreement in terms of project requirements; and, upon the sponsor's request, the FAA will compare the sponsor's proposed engineering cost with those for similar projects. *

The agency does not require a particular format for an engineering agreement but recommends inclusion of the following provisions:

- (1) Effective date of agreement.
- (2) Names, descriptions, and addresses of the parties to the agreement.
- (3) Nature, extent, character, and location of the project.
- (4) Any or all of the following services to be rendered by the engineer:

- * (a) Engineering surveys for the development of a new or revised airport layout plan, including predesign topographic and soil surveys, related tests including those tests of existing pavement that may be necessary to determine extent of pavement improvement, and cost estimates with evaluations and recommendations for stages of construction or alternative designs. In case of site selection, engineering may include reconnaissance and comparison of alternate sites from standpoint of optimum runway orientation and development cost comparison. *
- (b) Preparing plans and specifications including necessary surveys additional to those for the airport layout plan, soil investigations, and preliminary testing of construction materials.
- * (c) Preparing detailed cost estimates. *
- (d) Preparing construction contract documents.

- (e) Furnishing the sponsor with the specified number of plans, specifications, contract documents, and engineering reports of design analyses and basic computations for the work.
 - (f) Assisting with bid openings, bid analysis, contract negotiations, and award of contract.
 - (g) Consulting and advising during construction, including necessary activities associated with changed field conditions.
 - (h) Furnishing resident supervision and inspection required to control construction and to assure conformity to plans and specifications. This includes establishment of lines and grades, field and laboratory inspection and testing required by the specifications, surveys necessary to determine quantities, and all equipment and personnel required for this work.
 - (i) Furnishing "as constructed" plans after completion of the project.
- (5) Compensation for services rendered by the engineering firm, including manner of payment. This should be specific enough for identification during audit.
 - (6) Additional compensation for redesign, change of scope, or delays causing expense to the engineer after required approvals.
 - (7) Progress schedule showing agreed dates for completion of engineering work.
 - (8) Termination of agreement.

- * ●. Conformance to FAA Standards. (Sections 151.71, 151.72, and 151.99 FAR.) Design and construction must conform to FAA standards in effect at the time of allocation of FAAP funds for the project. Design and construction standards are published in the form of advisory circulars. A bibliography of the circulars with the greatest general application is in Appendix 1-1. FAA representatives will assist a sponsor's engineer in selecting the design standards applicable to a specific project and the standard specifications including the portions of Advisory Circular 150/5370-1A, Standard Specifications for Construction of Airports, that should be given attention in the project. *

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FAA approved modification of a standard may be obtained when necessary to adapt to local conditions, if the FAA determines the modification will provide an acceptable level of safety, economy, durability and workmanship.

- f. Airport Layout Plan (Section 151.5 FAR). A current airport layout plan, approved by the FAA, is required for airport development under the FAAP program. The revision of an obsolete airport layout plan or preparation of a new airport layout plan, as appropriate, should, therefore, precede the preparation of project plans. Advisory Circular 150/5310-2, Airport Planning and Airport Layout Plans, provides guidance on this subject.
- g. Pavement Design. Advisory Circular 150/5320-6A, Airport Paving, contains the FAA recommended method of pavement design and explains soil investigations that are necessary to allow this design. The engineer should, before proceeding with preparation of plans and specifications for paving, make the required soil investigations, determine the pavement design, and obtain FAA approval of the design. FAA Form 5100-1, Airport Pavement Design (Appendix 3-1) should be submitted to FAA to permit review and approval.
- h. Progress Reviews by FAA. Because plans and specifications are subject to FAA approval, a sponsor's engineers commonly request reviews while these documents are in early stages of preparation. This procedure avoids unnecessary revisions of the documents in advanced stages. The FAA area offices will comment on all or any part of the plans and specifications submitted for preliminary review. FAA representatives also consult with the sponsor's engineers while plans and specifications are being prepared.
- i. Contract Provisions. (Sections 151.47, 151.49, 151.53 and 151.54 FAR.) Advisory Circular 150/5370-1A contains not only construction requirements for specific items but also "General Provisions" applicable to a construction contract. Most engineers prefer to incorporate this publication by reference and to include special provisions that, among other things, designate choices within the standards and modifications as applicable. A publication incorporated by reference should be made available to prospective bidders. The engineer needs, then, to prepare an entire specification only for a construction item not covered by a referenced standard. Applicable clauses on labor and equal employment opportunity and a schedule of minimum wage rates are to be included in special provisions or

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elsewhere in the contract. Sponsors should request current applicable material from the FAA Area Office before writing construction specifications in order that all mandatory language is included and that all provisions and schedules are current. (See paragraphs 13 and 14 for additional information on labor, equal employment opportunity, and wage rate requirements.)

Contract documents related to project specifications include the proposed Invitation for Bids, Proposal, and Construction Contract. FAA has no required format for these documents. The engineer should, however, submit the documents with the plans and specifications.

- j. Engineer's Report. A general analysis of a project, the reasons for design choices or modification of standards, and the engineer's detailed estimates are necessary bases for FAA review and approval of project plans and specifications. The engineer has his choice of format but should provide the following information.

- (1) Design Computations. The report should include a summary of computations as a basis for design of major development items. FAA Form 5100-1 is usually adequate for pavement thickness design conforming to FAA standards. A summary of computations and a description of method will support requirements for drainage structures. The engineer need not submit earthwork cross sections or mathematical details for designs unless requested but should have them available for review by FAA representatives.
- (2) Reasons for Selections and Modifications. The engineer's choices and recommended modifications will, in most cases, be influenced by service records for comparable construction and by cost comparisons.

Even though the FAA will have discussed choices and modifications during progress reviews, the project record should include concise statements and cost comparisons that justify these selections and modifications.

- * (3) Other Elements. The engineer should outline work to be done without FAAP assistance, how it is to be accomplished, and its relationship to FAAP work. Also, work to be done by utility companies should be described together with sources of estimate for such work. *

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Material sources or water available for construction may affect design choices or bid items, therefore, the impact of such elements should be explained.

- (4) Engineer's Estimate. The engineer should support his itemized estimate with source information and with an explanation of any unique circumstances that may influence adjustment of prevailing prices.

k. FAA Approval (Sections 151.41(c)(2), 151.47(b), and 151.51(a)(1) FAR).

A sponsor may not advertise for bids on a construction contract or negotiate a contract until the FAA has approved the plans and specifications for the contract. The same approval is necessary for plans and specifications for force account work. The engineer should, prior to submission of plans and specifications to the FAA, obtain approval of any other officials in order to assure conformance to state and local requirements. In addition to sets of plans retained by the FAA, the FAA Area Manager or his representative will sign approved sets as appropriate for the engineer, the sponsor, and any other officials to meet state and local requirements.

FAA approval will be based on determinations that the plans and specifications conform with mandatory standards (or standards appropriately modified), include all prescribed clauses mandatory by Federal Aviation Regulations, and show reasonable costs.

l. Relationship to Time of Project Application, Grant Offer, and Grant Agreement (Sections 151.27 and 151.47 FAR). Except in special authorized cases, final plans and specifications are incorporated in the Project Application by reference.

A sponsor may also submit final plans and specifications themselves with the Project Application. In fact, the FAA prefers the sponsor to submit final plans and specifications in advance of the Project Application so that processing of the application will not be delayed by review of plans and specifications.

The sponsor's advertising for bids may be made at any time after FAA approval of plans and specifications. This procedure allows the sponsor to proceed with bidding procedures during the time that the FAA is processing the Project Application and issuing, or preparing to issue, a Grant Offer.

11. PROPERTY INTERESTS AND LAND ACQUISITION (SECTION 151.25 FAR). A sponsor must state, in the Project Application, the property interests that he holds in land to be used as a part of, or in connection with, the airport as it will be when the project is completed. The property interest must be a fee title free and clear, as described in Section 151.25(c)(1); a lease of not less than 20 years from another public agency having title to the property; or, in case of an off-site area, an agreement, easement, leasehold, or other right or property interests that, in the Administrator's opinion, reasonably assures use of the land for the sponsor's intended purpose.

The sponsor should undertake the preparation of title evidence for presently owned land and the acquisition of additional land interests as soon as possible after notice of allocation of funds for a project. Early submission of title evidence assists in avoiding delays in construction or grant payments.

12. METHODS OF ACCOMPLISHING CONSTRUCTION WORK (SECTIONS 151.45 and 151.47(a) FAR). Construction work must be performed under contract unless the FAA determines that the project, or any part of it, can be more effectively and economically accomplished on a force account basis by the sponsor or by another public agency acting for or as agent for the sponsor. Each contract must meet requirements of local law. Each contract in the amount of more than \$2,000 must be awarded on the basis of public advertising and open competitive bidding unless the FAA approves another method. The requirement for advertising and competitive bidding does not, however, apply to contracts with owners of airport hazards--buildings, pipe lines, power lines or other structures or facilities for installing, extending, changing, removing, or relocating that structure or facility. Specific contract requirements are discussed in paragraphs 13 and 14.

- a. Sponsor Force Account (Section 151.54 FAR). Sponsor force account work is construction that is accomplished by direct purchase of materials, use of equipment owned or rented by the sponsor or other public agency performing the work and use of sponsor's labor and supervisory personnel. An agreement between the sponsor and another * public agency to perform force account work is not considered a contract and is not subject to contract requirements of Section 151.47 FAR. Any agreement for accomplishing work other than on a force account basis is, however, a contract that must meet contract requirements.

- (1) Nature of Force Account Projects. A project, or any part of a project, accomplished by force account must meet the same engineering and construction standards that are required for contract construction. The FAA will apply the same requirements in review of plans and specifications and in conducting

construction inspections. A major difference between force account and contract accomplishment is the degree of detail in the FAA audit of project costs. The sponsor of force account construction must keep meticulous records of costs of materials, hourly operation of equipment, payrolls, and all other costs to avoid disallowance of costs that the FAA auditor cannot verify.

- (2) FAA Consent. A sponsor must obtain FAA written consent before undertaking force account construction. Although the FAA will give consent only after final approval of the plans and specifications, a sponsor is urged to submit advance information of the proposed force account construction as soon as possible. The FAA will consider the circumstances requiring the force account method and the cost comparison between the two methods. The sponsor must submit, therefore, a justification for the force account method and an engineer's cost estimate for contract construction, together with the following information:
 - (a) Adequate plans and specifications showing the nature and extent of the construction work to be performed under the force account method;
 - (b) A schedule of the proposed construction and list of equipment available for the project;
 - (c) A statement assuring adequate labor, materials, and equipment, along with assurance of engineering and inspection personnel;
 - (d) A detailed itemized cost estimate of each class of cost involved such as labor, materials, equipment rental value, and other pertinent items of cost.

b. Negotiated Contracts (Sections 151.45(d) and 151.47(a) FAR).

- (1) Minor Development Items. On minor construction items, the sponsor may realize substantial savings by directly contracting with the firm that will do the work. For example, a sponsor may contract with a local firm or individual for seeding rather than including this item in the larger prime contract.
- (2) Contracts Over \$2,000. The sponsor may award a contract of over \$2,000 on the basis of negotiation only if the FAA has given prior approval to this method of contracting.

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- (3) Owner Removal Contracts. Another type of contract, commonly termed "owner removal contract", requires removal of an airport hazard by an owner other than the sponsor. (See opening Paragraph 12.) Removal of a hazard owned by the sponsor is one of the other methods described in that paragraph. If an owner is obligated to perform the removal without reimbursement by the sponsor, the cost of the removal is not an allowable project cost.

13. LABOR PROVISIONS.

- a. Minimum Wage Rates (Section 151.47 FAR). Unless the contract is for \$2,000 or less or the contract is an "owner removal contract", there may be no advertisement for bids or negotiation until the FAA has furnished the sponsor with a copy of a decision of the Secretary of Labor establishing minimum wage rates for skilled and unskilled labor under the proposed contract. Engineers commonly * include the schedules in Project Specifications (See Paragraph 101). *

The Department of Labor issues, for some areas, determinations that are termed "area decisions." These are generally on a countywide basis and normally contain minimum wage rates for all trades and crafts used in airport construction. If the airport is not located in an area covered by an area decision, the FAA Area Office assists in obtaining a decision for the specific project.

Sponsors should give particular attention to currency and adequacy of wage decisions.

- (1) Currency. Each decision has an effective date and an expiration date. A contract must incorporate a current decision. It is, therefore, important that the sponsor keep the FAA Area Office informed of currently proposed dates for receipt of bids and for award of a contract. Only with this information can the FAA Area Office furnish a decision that will be current and thus allow award.
- (2) Adequacy. Immediately upon receipt of a decision, the sponsor should review it to assure that it provides rates for all trades and crafts anticipated and that there are no problems with the rates. If there are missing rates or problems, the sponsor should promptly notify the FAA Area Office.

- b. Required Labor Provisions in Contracts (Section 151.49, and Part 151 Appendix H, FAR). Except for owner removal contracts, each sponsor entering into a construction contract of more than \$2,000 must insert all prescribed specific provisions with respect to labor and payments to laborers. Some of the provisions are not required for prime contracts of \$2,000 or less. As indicated in Paragraph 101, the most satisfactory manner of determining provisions* required for each proposed project is to request current provisions from the FAA Area Office.
14. EQUAL EMPLOYMENT OPPORTUNITY REQUIREMENTS (Section 151.54 FAR). Except for owner removal contracts the sponsor must, in each contract of \$10,000 or more, include specific clauses prohibiting discrimination in labor practices because of race, color, religion, or national origin. As in the case of other labor provisions, the FAA Area Office will furnish clauses required for each contract.
15. RELATIONSHIP OF PROJECT TO AREA PLANS (Section 151.39(a)(4) and (5) FAR).
- a. Requirement for Review by Planning Agencies and Local Governments. The FAA may approve a project only if satisfied that the project is reasonably consistent with existing plans of public agencies for development of the area in which the airport is located; and that fair consideration has been given to the interest of communities in or near which the project is located. In addition to these requirements which carry out provisions of the Federal Airport Act, Section 204 of the Demonstration Cities and Metropolitan Development Act contains similar provisions. A related requirement is Section 4 (f) of the Department of Transportation Act that concerns the use of land from public parks or other specified sites.
- These laws provide for review and comments by planning agencies or units of local government authority.
- b. Sponsor Actions Prior to Project Development. Review by planning agencies and local governments should be completed by the time of submission of the Project Application. Prior coordination of planned development will, however, expedite reviews at this stage and help to avoid problems and need for revisions. Many sponsors

will have participated in development of area comprehensive plans. In the case of a new airport site, the coordination during site selection will result in comments applicable to the project. One of the best actions that will, in effect, comprise a preliminary review of a project is coordination of the airport layout plan.

- c. Submitting Projects for Review. Projects that must be reviewed are those involving construction of a new airport or improvement of an existing airport that would have a substantial environmental effect on the surrounding area. Improvements that have a substantial environmental effect include extension of the airport area, relocation or extension of an existing runway, or other development that is intended to substantially increase airport capacity, change type of operations, or alter flight patterns. If, after a project has been reviewed, the sponsor makes changes that would alter the environmental effect, he should submit the changes for similar review. Documentation for the review agency or unit of general local government will vary with the stage of development and complexity of the proposed development. The information should, in any case, allow an evaluation of the effect of the project on other area planning programs and on the relationship of the airport to the orderly development of the area.
- (1) Projects in Areas with an Areawide Agency Designated by the Bureau of the Budget. The Bureau of the Budget has designated areawide agencies authorized to engage in planning for designated urban areas. Any sponsor of a project in a designated area should submit the project for review by the appropriate agency. If the sponsor is a special purpose unit of local government, such as an airport authority or port authority, he should also submit the project to the unit of local government in which he has or proposes to acquire property interests.
- (2) Other Areas. If the project is not in an area for which the Bureau of the Budget has designated a review agency, the sponsor should submit the project to each municipality or other political subdivision that is in a location where land use and operation of the airport should be compatible. He should also submit the project to each planning agency responsible for planning in the area such as a planning agency responsible for one or a group of political subdivisions in the area, a state or Federal agency responsible for transportation planning, or an organizational component of a political subdivision that is responsible for planning.

Part IV-PROJECT AGREEMENT

If the Project or any portion thereof is approved by the FAA, and an offer of Federal aid for such approved Project is accepted by the Sponsor, it is understood and agreed that all airport development included in such Project will be accomplished in accordance with the Act and the Regulations, the plans and specifications for such development, as approved by the FAA, and the Grant Agreement with respect to the Project.

IN WITNESS WHEREOF, the Sponsor has caused this Project Application to be duly executed in its name, this _____ day of _____, 19____

(Name of Sponsor)

By _____

(Title)

OPINION OF SPONSOR'S ATTORNEY

I HEREBY CERTIFY that all statements of law made in this Project Application and all legal conclusions upon which the representations and covenants contained herein are based, are in my opinion true and correct.

(Title)

(Date)

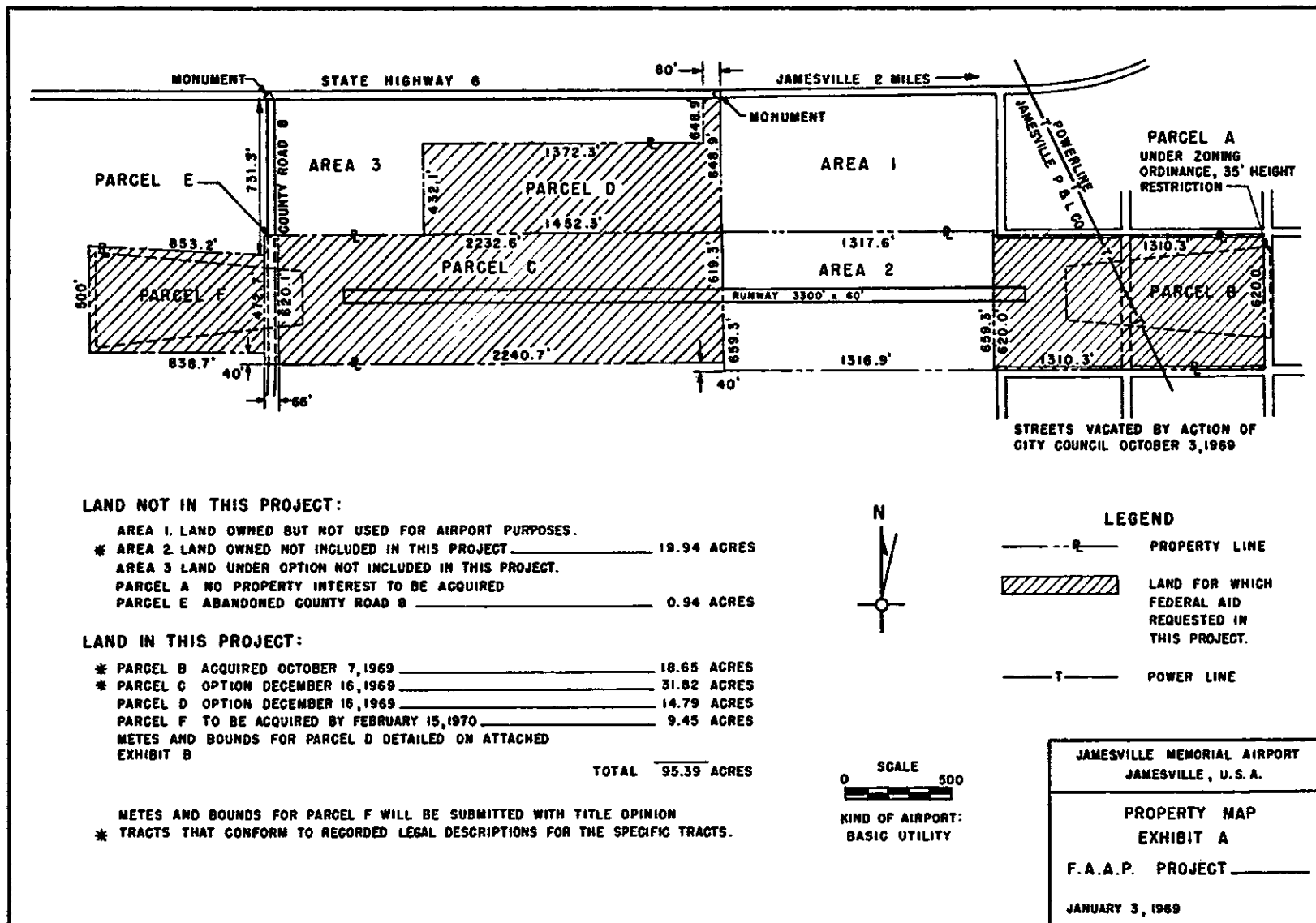


FIGURE 4-1. PROPERTY MAP EXHIBIT A
TO ACCOMPANY FAA FORM 1624

CHAPTER 5. CONSTRUCTION

19. CONTRACTING FOR CONSTRUCTION (SECTION 151.45 FAR). Although Part 151, FAR sets forth certain requirements for advertisement for bids, negotiation, award, and execution of a contract, the FAA requires no specific format for these documents. These procedures must, however, meet requirements of local law.

- a. Advertising for Bids (Sections 151.47(b) and 151.54(d)(1) FAR). A sponsor may not advertise for bids or negotiate a contract, until the FAA approves plans and specifications. The form of advertisement or "invitation" must state that work will be subject to the minimum wage rates established by the Secretary of Labor as well as Equal Employment Opportunity requirements, and must require each bidder to furnish complete information about previous contracts subject to the Equal Employment Opportunity clause as requested in the bid form.

FAA approval of plans and specifications applies only to the plans and specifications submitted prior to this approval. Any modification made between advertisement and receipt of bids requires FAA approval of an addendum issued to all prospective bidders.

The form of advertisement will normally have been submitted with plans and specifications. Copies of the actual advertisement should, however, be submitted to the FAA Area Office. Dates for receipt of bids and anticipated award of contract become particularly important when the expiration date of minimum wage rates becomes a factor.

- b. Negotiations (Sections 151.47(a) and 151.45(d) FAR). There will be no advertisement for bids, unless required by local law, for construction contracts for \$2,000 or less or for owner removal contracts. The sponsor may, therefore, start negotiations as soon as the FAA has approved plans and specifications. Plans and specifications for an owner removal contract may be less formal than for construction contracts and, in some cases, may consist of the owner's proposal with identifying drawings. They should show the scope and location of the work well enough to allow consideration of reasonableness of costs.

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- c. Award (Section 151.47(e) FAR). Following receipt of bids, the sponsor must send a tabulation of bids to the FAA Area Office. For negotiated contracts, of course, there is no tabulation of bids, but FAA written concurrence is necessary here also.

The FAA reviews the information submitted to verify reasonableness of contract costs and conformance to the Grant Agreement and it notifies the sponsor of FAA concurrence. The allowable project costs of the work on which Federal participation is computed, may not be more than the bid of the lowest responsible bidder even if the sponsor lawfully selects a bidder other than the lowest responsible bidder.

- d. Execution of Contract (Section 151.45(e) FAR). After FAA concurrence in award, the sponsor should execute contracts to conform to local law and requirements of the specifications including the bond requirements. This action should take place after acceptance of the Grant Agreement (See Paragraph 18c).

The sponsor should, before issuing a "Notice to Proceed", send three conformed copies of the contract, to the FAA Area Office.

- e. Subcontracts. The sponsor is responsible for assuring that subcontracts conform to contract requirements including the applicable * requirements of Sections 151.49 and 151.54 FAR as well as those required by the Secretary of Labor as set forth in FAR 151, Appendix H. Although the FAA Area Office will not have copies, field * representatives will, during period inspections, check subcontracts for compliance with these regulations.

- f. Change Orders and Supplemental Agreements (Section 151.45(c) FAR). A sponsor may issue a change order under a construction contract or enter into a supplemental agreement only after FAA approval. Procedures are the same as for original approval of plans and specifications.

- (1) Change Orders. A change order is a written order by the sponsor to the contractor, given pursuant to a right of the sponsor to make a change in design, drawings, or specifications, within the general scope of the contract.

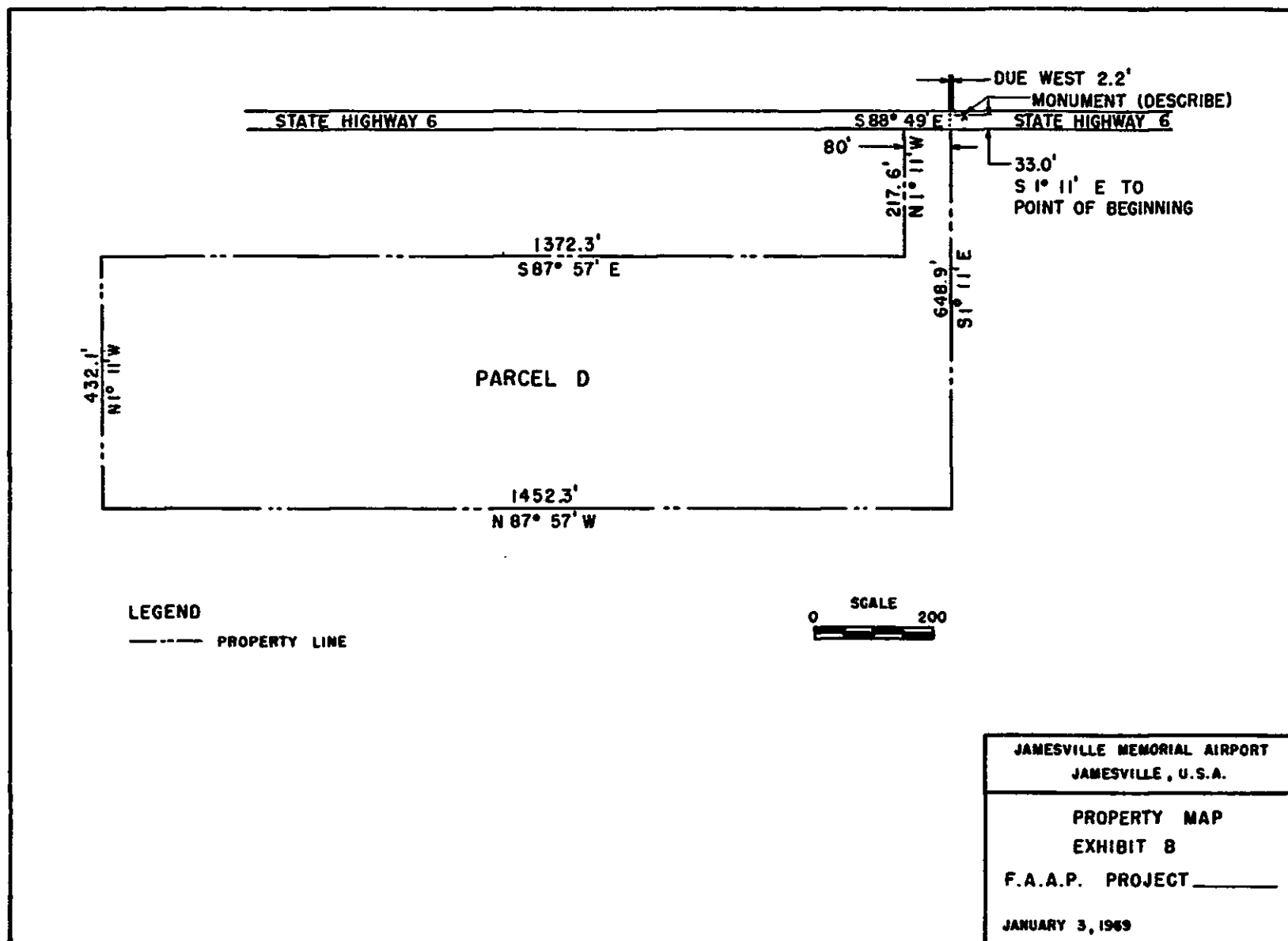


FIGURE 4-2. PROPERTY MAP EXHIBIT B
TO ACCOMPANY FAA FORM 1624

- (2) Supplemental Agreements. A supplemental agreement covers work that is not within the general scope of the contract and that the contractor is not obligated to perform. It is a separate contract and requires execution by both parties. Unless the supplemental agreement is for \$2,000 or less, it is subject to a wage rate decision of the Secretary of Labor that is effective on the date of execution of the supplemental agreement.

20. START OF CONSTRUCTION.

- a. Notice to Proceed (Section 151.45(e) FAR). After review of the contract, the FAA Area Office will agree to issuance of a notice to proceed. In the case of sponsor force account, the FAA will advise the sponsor to start construction.
- b. Arrangements for Construction Control. The sponsor should not allow start of construction until all arrangements are made for adequate engineering, supervision, inspection, and testing (See Paragraph 21(b)). In order not to jeopardize Federal participation in construction costs, the sponsor should provide written assurance to the FAA Area Office that he has, through his engineer, reviewed the qualifications of personnel who will control construction and determined that they are qualified to perform the construction control work.
- c. Land Title (See Project Application, Representation 7(b)). Each Project Application contains a covenant that the sponsor will acquire property interests satisfactory to the Administrator in lands in which it does not hold those property interests at the time it submits the application prior to the start of any construction thereon. The FAA may concur in the start of construction on such land, even though title thereto has not been acquired, if the sponsor submits satisfactory evidence that it has acquired the immediate right of entry and possession. The concurrence will be subject to a condition that the FAA will not pay or be obligated to pay for any construction on such land unless and until the sponsor submits satisfactory evidence that it has acquired satisfactory property interests therein.

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- d. Preconstruction Conference. (Sections 151.45, 151.49, 151.54, and 151, Appendix H, FAR). The sponsor should, prior to start of construction, arrange for a preconstruction conference. Participants should include the sponsor's engineer, other appropriate sponsor representatives, the contractor, and FAA representatives affected by the project. The purposes of the conference are to assure that sponsor and his contractors understand all applicable requirements and to agree on procedures and plans for construction. *
- (1) Labor and Equal Employment Opportunity. The FAA Area Office will provide current information about labor and equal employment opportunity requirements in FAAP contracts. Discussion during the conference should assure an understanding of respective responsibilities of the contractor, the sponsor, and the FAA for enforcement of these requirements.
 - (2) Construction Schedules and Procedures. The contractor's planned schedule and intended sources of supply of materials will affect the sponsor's construction control requirements and the FAA's plans for inspections. The contractor should provide pertinent information during the conference.
 - (3) Sponsor's Construction Control. Discussion should include the specific tests required to assure conformance to specifications, the plans of the sponsor's engineer to conduct these tests, and other engineering control.
 - (4) Airport Safety. Measures to insure safe operation of aircraft during construction should be discussed. They include control and marking of construction equipment, advance arrangements for construction near operating areas, and protection of existing facilities.

21. PROJECT SUPERVISION, INSPECTION AND TESTING.

- a. Inspections by FAA Representatives. The FAA is not a party to the contract between the sponsor and contractor and does not have direct responsibility for enforcement of the contract. FAA representatives, in determining conformity to contract requirements, deal, therefore, with sponsor representatives instead of the contractor. They supplement physical inspections by scrutinizing test reports and opportunity provisions. Agency representatives will notify the sponsor if inspection does not show conformity to contract requirements.

- c. Application for Grant Payment, FAA Form 5100-6. The Application for Grant Payment (Appendix 6-3) comprises a voucher as a basis for payment of Federal funds. This form, too, has instructions on the reverse side of the form. Applications, prior to completion of the project, will usually be checked "partial-regular" in Item 6. (See the discussion of partial-advance payment in subparagraph b(5).)
- (1) Partial Grant Payments (Section 151.61(b)FAR). Although applications for semi-final and final Grant Payments are subject to detailed review and audit, the FAA depends substantially on the computations and certifications of the sponsor for partial Grant Payments. A partial Grant Payment does not represent a final determination of allowability of project costs. The FAA area office will make deductions (Item 16 of the form) if supported by facts, when an item is obviously unallowable such as for noncompliance with special conditions in the Grant Agreement, or to delete work not in the project, or to correct computations. A deduction from a partial Grant Payment is also required if the total estimated United States Share (Item 12D Line 7) exceeds 90% of the Maximum Grant (Item 11) or 90% of the latest revised total estimated cost of the project exclusive of contingencies, whichever is less. The basis for computation of the percentage of revised total cost does not include estimated costs for land not yet acquired unless negotiations assure a firm price and acquisition within 30 days.
- (2) Semi-Final Grant Payments. (Section 151.63(a)FAR.) Whenever development on a project is delayed or suspended for an appreciable time for reasons beyond the sponsor's control, the FAA may approve a semi-final Grant Payment of allowable costs up to the maximum grant (Item 11 of FAA Form 5100-6). FAA procedures are the same as those for determination of allowable costs after project completion, including audit. It is not feasible, therefore, to process a semi-final Grant Payment for each seasonal work stoppage. On the other hand, there are instances where the balance of the Federal share is substantial and the completion of the project depends only on a development item that the sponsor is not capable of completing for several months. In such an instance, the FAA may process a semi-final Grant Payment provided there are no other unsatisfied project requirements and no lack of sponsor diligence to complete the development.

Another type of semi-final Grant Payment results when a sponsor submits an application for final Grant Payment but the FAA determines, during processing, that the sponsor may be entitled to further payment for unclaimed allowable costs. In this case, the FAA considers the application as semi-final, giving the sponsor an opportunity to submit a later final application.

24. PROJECT COMPLETION - FINAL GRANT PAYMENT (SECTION 151.63(b)(1) FAR).

The sponsor may apply for final payment whenever a project is completed in accordance with the Grant Agreement. If the remaining Federal share, payable within the 90% limitation for partial Grant Payment, is substantial, a sponsor may choose to submit two substantially identical applications for payment. One may be processed to obtain early payment up to the 90% limitation and the other may be processed after audit and final determination of allowable project costs.

- a. Requirements for Construction (Section 151.63(b) FAR). The sponsor should apply for final Grant Payment after the required final inspection of all construction (See Paragraph 21d). The sponsor should also furnish final "as constructed" plans.
- b. Requirements for Audit and Final Determination of Cost (Section 151.63(c)). After receipt of the final application for Grant Payment, the FAA Area Office will arrange for an audit of the sponsor's project records (See Paragraph 22). Based upon the final audit, final inspection, as constructed plans, and documents and required supporting information, the FAA will then determine the total amount of allowable project costs and process payment for the remainder of the United States share.
- c. Relationship to Grant Amount (Section 151.31 FAR). If the total amount of the United States share is equal to or less than the amount shown in the Grant Agreement, the sponsor needs to take no further action. Payment of the remainder of the United States share will complete the financial procedures for the project.

If the total allowable project costs exceed the Grant Amount, the sponsor may request an amendment to the Grant Agreement to increase the Grant Amount to a sum equal to allowable project costs but not over 10% of the initial Grant Amount. In this case, the sponsor may, after execution of the amendment, submit another application

* for Grant Payment to cover the unpaid balance. All requests for increase must be accompanied by a written justification setting forth the facts surrounding the unforeseen contingency or overrun and a statement of circumstances necessitating the increase. *

FEDERAL AVIATION ADMINISTRATION

AIRPORTS SERVICE

Regional, Area, and District Office Addresses

EASTERN REGION

- * Chief, Airports Division, EA-600 *
Federal Aviation Administration
- * Federal Building - Room 329 *
John F. Kennedy International Airport
Jamaica, New York 11430
MAIL: Federal Building
John F. Kennedy Int'l. Airport
Jamaica, New York 11430

N.Y. City Metro. 1/, N.J., DELAWARE
EASTERN PENNSYLVANIA 2/

- * Airport Operations Branch, EA-640
Federal Aviation Administration
Colonial Bldg.
181 S. Franklin Ave.
Valley Stream, New York 11581 *

MAINE, N.H., VERMONT, MASSACHUSETTS,
RHODE ISLAND, CONN., N.Y. (except
NYC metro area)

- * Airports Branch Chief, BOS-600 *
Federal Aviation Administration
154 Middlesex Street
Burlington, Massachusetts 01803

MARYLAND, VIRGINIA, WEST VIRGINIA,
DISTRICT OF COLUMBIA

- * Airports Branch Chief, DCA-600 *
Federal Aviation Administration
900 South Washington Street
Falls Church, Virginia 22046

OHIO, KENTUCKY, W. PENNSYLVANIA 3/

- * Airports Branch Chief, CLE-600 *
Federal Aviation Administration
Westview Building
21010 Center Ridge Road
Rocky River, Ohio 44116

- 1/ N.Y. Metro. area includes NYC and counties of Nassau, Suffolk, Westchester, Rockland, Orange, Putman, Dutchess, Ulster, and Sullivan.
- 2/ Eastern Pennsylvania includes counties of Tioga, Clinton, Center, Huntington, Franklin, and all counties east thereof.
- 3/ Western Pennsylvania includes counties of Potter, Cameron, Clearfield, Blair, Bedford, Fulton, and all counties west thereof.

SOUTHERN REGION

* Chief, Airports Division, SO-600* ALABAMA, MISSISSIPPI, TENNESSEE
Federal Aviation Administration *Airports Branch Chief, MEM-600 *
3400 Whipple Street Federal Aviation Administration
East Point, Georgia 30320 3400 Democrat Road
MAIL: P.O. Box 20636 Memphis, Tennessee 38118
Atlanta, Georgia 30320 MAIL: P.O. Box 18097
Memphis, Tennessee 38118

GEORGIA, NORTH CAROLINA, SOUTH CAROLINA

* Airports Branch Chief, SO-670
Atlanta Airports Operations *
Federal Aviation Administration
3400 Whipple Street
East Point, Georgia 30320
MAIL: P.O. Box 20636
Atlanta, Georgia 30320

MISSISSIPPI

Chief, Airport District Office
Federal Aviation Administration
FAA Building
Jackson Municipal Airport
Jackson, Mississippi 39205
MAIL: P.O. Box 1727
Jackson, Mississippi 39205

FLORIDA, PUERTO RICO, VIRGIN ISLANDS

*Airports Branch Chief, MIA-600 *
Federal Aviation Administration
FAA/WB Building
Miami International Airport
Miami, Florida 33159
MAIL: P.O. Box 2014, AMF Branch
Miami, Florida 33159

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SOUTHWEST REGION

* Chief, Airports Division, SW-600* ARKANSAS, OKLAHOMA, NE TEXAS 1/
Federal Aviation Administration *Chief, Airport Operations Branch, SW-670 *
Haslet Road Federal Aviation Administration
Fort Worth, Texas 76101 Federal Building
MAIL: Federal Aviation Admin. 819 Taylor Street
P.O. Box 1689 Fort Worth, Texas 76102
Fort Worth, Texas 76101

1/ NE Texas includes counties of Harrison, Gregg, Smith, Henderson, Anderson, Freestone, Limestone, Falls McLennan, Coryell Mills, Brown, Coleman, Runnels, Taylor, Jones, Haskell, Knox, Foard, Hardeman, and all counties north and east thereof.

SOUTHWEST REGION (CONTINUED)

OKLAHOMA

Chief, Airport District Office
Federal Aviation Administration
Federal Building - Room 204
Wiley Post Airport
Bethany, Oklahoma 73008

LOUISIANA, SOUTH TEXAS 2/

* Airports Branch Chief HOU-600 *
Federal Aviation Administration
Bradley Building
8345 Telephone Road
* MAIL: P.O. Box 12638
Houston, Texas 77017 *

NEW MEXICO, WEST TEXAS 3/

* Airports Branch Chief ABQ-600 *
Federal Aviation Administration
* First National Bank Building *
P. O. Box 8502
Albuquerque, New Mexico 87108

- 2/ South Texas includes counties of Panola, Rusk, Cherokee, Houston, Leon, Robertson, Milam, Bell, Lampasas, San Saba, McCulloch, Concho, Menard Kimble, Edwards, Val Verde, and all counties south and east thereof.
- 3/ West Texas includes counties of Terrell, Crockett, Sutton, Schleicher, Tom Green, Coke, Nolan, Fisher, Stonewall, King, Cottle, Childress, Corlinsworth, Wheeler, Hemphill, Lipscomb, and all counties west thereof.

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CENTRAL REGION

* Chief, Airports Division, CE-600 *
Federal Aviation Administration
Federal Building
601 East 12th Street
Kansas City, Missouri 64106

KANSAS, MISSOURI, IOWA, NEBRASKA

* Chief, Airports Field Branch, CE-670 *
Federal Aviation Administration
4747 Troost Avenue
Kansas City, Missouri 64110

CENTRAL REGION (CONTINUED)

NEBRASKA

Chief, Airport District Office
Federal Aviation Administration
General Aviation Building
Lincoln Municipal Airport
Lincoln, Nebraska 68524

ILLINOIS, INDIANA, MICHIGAN

- * Airports Branch Chief, CHI-600 *
- Federal Aviation Administration
3166 Des Plaines Avenue
Des Plaines, Illinois 60018

MICHIGAN

- Chief, Airport District Office
Federal Aviation Administration
- * Room 25, Landy Taylor Building
16647 Airport Rd., Rte. #4
Lansing, Michigan 48906 *

WISCONSIN, MINNESOTA, MONTANA,
NORTH DAKOTA, SOUTH DAKOTA

- * Airports Branch Chief, MSP-600 *
- Federal Aviation Administration
6301 34th Avenue South
Minneapolis, Minnesota 55450

MONTANA

Chief, Airport District Office
Federal Aviation Administration
FAA Building
Helena County Airport
Helena, Montana 59601
MAIL: P.O. Box 157
Helena, Montana 59601

#####

WESTERN REGION

- * Chief, Airports Division, WE-600 *
- Federal Aviation Administration
5651 West Manchester Avenue
Los Angeles, California 90045
- * MAIL: 92007 Worldway Postal Center
Los Angeles, California 90009 *

SOUTHERN CALIFORNIA ^{1/}, ARIZONA

- * Airport Operations Branch Chief, WE-680 *
- Federal Aviation Administration
5885 West Imperial Highway
Los Angeles, California 90045
MAIL: P.O. Box 45018
Westchester Station
Los Angeles, California 90045

NORTHERN CALIFORNIA ^{2/}

- * Airports Branch Chief, SFO-600 *
- Federal Aviation Administration
831 Mitten Road
Burlingame, California 94010

- ^{1/} Southern California includes the counties of Santa Barbara, Kern, Inyo, and all counties south thereof.
- ^{2/} Northern California includes the counties of San Luis Obispo, Kings, Tulare, Fresno, Mono, and all counties north thereof.

WESTERN REGION (CONTINUED)

WASHINGTON, OREGON

- * Airports Branch Chief, SEA-600 *
Federal Aviation Administration
FAA Building, Boeing Field
Seattle, Washington 98108

UTAH, IDAHO, NEVADA

- * Airports Branch Chief, SLC-600 *
Federal Aviation Administration
* 116 N. 23rd West Street *
- Salt Lake City, Utah 84116

COLORADO, WYOMING

- * Airports Branch Chief, DEN-600 *
Federal Aviation Administration
* 10255 East 32nd Avenue *
- Aurora, Colorado 80010 *

#####

ALASKAN REGION

- * Chief, Airports Division, AL-600 *
Federal Aviation Administration
Headquarters Building
632 Sixth Avenue
Anchorage, Alaska 99501
- No Area or District Offices

#####

PACIFIC REGION

- * Chief, Airports Division, PC-600 *
Federal Aviation Administration
 - * Room 808, 1833 Kalakaua Avenue *
 - Honolulu, Hawaii 96812
 - MAIL: P.O. Box 4009
- No Area or District Offices

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FEDERAL AVIATION ADMINISTRATION
Washington, D.C. 20590
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