

APPENDIX 1. SAMPLE PGP FORMS

This appendix consists of the various application, grant, reporting, and payment forms used in the PGP. Some of the forms have been completed for illustrational purposes. The exhibits include:

- Exhibit 1 - Sample Application Form (Standard Form 424 and FAA Form 5100-101 (Parts II through V) and FAA Form 5900-8).
- Exhibit 2 - Planning Grant Agreement (FAA Form 5900-1).
- Exhibit 3 - Report of Federal Cash Transactions (FAA Form 5100-62).
- Exhibit 4 - Financial Status Report (FAA Form 5100-63).
- Exhibit 5 - Request for Advance or Reimbursement (FAA Form 5100-61).

EXHIBIT 1. SAMPLE APPLICATION FORM

OMB Approval No. 29-RO218

FEDERAL ASSISTANCE		2. APPLICANT'S APPLICATION	4. NUMBER 1	2. STATE APPLICATION IDENTIFIER	4. NUMBER 76-05-04-321
1. TYPE OF ACTION <input type="checkbox"/> PREAPPLICATION <input checked="" type="checkbox"/> APPLICATION <input type="checkbox"/> NOTIFICATION OF INTENT (Opt.) <input type="checkbox"/> REPORT OF FEDERAL ACTION		5. DATE 19 77 9 7	6. DATE ASSIGNED 19		
4. LEGAL APPLICANT/RECIPIENT		5. FEDERAL EMPLOYER IDENTIFICATION NO. N/A			
a. Applicant Name : Capital Airport Commission b. Organization Unit : Same c. Street/P.O. Box : 800 Independence Ave., S.W. d. City : Washington e. State : D.C. f. Contact Person (Name & telephone No.) : Mary Doe - Chief Engineer : 202-426-0000		a. PRO-GRAM (From Federal Catalog) b. TITLE : Planning Grant Program c. NUMBER : 200-1031			
7. TITLE AND DESCRIPTION OF APPLICANT'S PROJECT		8. TYPE OF APPLICANT/RECIPIENT			
Airport Master Planning Study Capital Airport Washington, D.C.		A-State B-Interstate C-Substate D-District E-County F-City G-School District H-Special Purpose District I-Community Action Agency J-Higher Educational Institution K-Indian Tribe L-Other (Specify): Enter appropriate letter <input checked="" type="checkbox"/>			
9. AREA OF PROJECT IMPACT (Name of cities, counties, States, etc.)		10. ESTIMATED NUMBER OF PERSONS BENEFITING			
Washington, D.C.		1,000,000			
11. PROPOSED FUNDING		12. TYPE OF APPLICATION			
a. FEDERAL \$ 40,000 .00 b. APPLICANT 5,000 .00 c. STATE 5,000 .00 d. LOCAL .00 e. OTHER .00 f. TOTAL \$ 50,000 .00		A-New B-Revision C-Augmentation D-Renewal E-Discontinuation Enter appropriate letter <input checked="" type="checkbox"/>			
13. CONGRESSIONAL DISTRICTS OF:		14. TYPE OF CHANGE (For 18a or 18b)			
a. APPLICANT b. PROJECT c. PROJECT START DATE Year month day 19 78 3 1 d. PROJECT DURATION 12 Months e. ESTIMATED DATE TO BE SUBMITTED TO FEDERAL AGENCY 1978 1 31		A-Increase Dollars B-Decrease Dollars C-Increase Duration D-Decrease Duration E-Cancellation Enter appropriate letter(s) <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>			
15. FEDERAL AGENCY TO RECEIVE REQUEST (Name, City, State, ZIP code)		16. REMARKS ADDED			
DOT/FAA - Airports District Office, Falls Church, VA. 22046		<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
17. THE APPLICANT CERTIFIES THAT:		18. CERTIFYING REPRESENTATIVE			
a. To the best of my knowledge and belief, data in this preapplication/application are true and correct, the document has been duly authorized by the governing body of the applicant and the applicant will comply with the attached assurance if the assistance is approved. b. If required by OMB Circular A-95 this application was submitted, pursuant to instructions therein, to appropriate clearinghouses and all responses are attached: <input type="checkbox"/> No response <input checked="" type="checkbox"/> Responses attached (1) Washington Metropolitan COG (2) (3)		a. TYPED NAME AND TITLE John Smith, Chairman Capital Airports Commission b. SIGNATURE X c. DATE SIGNED Year month day 19 77 9 7			
19. AGENCY NAME		20. APPLICATION RECEIVED			
25. ORGANIZATIONAL UNIT		26. FEDERAL APPLICATION IDENTIFICATION			
27. ADDRESS		28. FEDERAL GRANT IDENTIFICATION			
29. ACTION TAKEN		30. FUNDING			
<input type="checkbox"/> a. AWARDED <input type="checkbox"/> b. REJECTED <input type="checkbox"/> c. RETURNED FOR AMENDMENT <input type="checkbox"/> d. DEFERRED <input type="checkbox"/> e. WITHDRAWN		a. FEDERAL \$.00 b. APPLICANT .00 c. STATE .00 d. LOCAL .00 e. OTHER .00 f. TOTAL \$.00			
31. FEDERAL AGENCY A-95 ACTION		32. ACTION DATE			
a. In taking above action, any comments received from clearinghouses were considered. If agency response is due under provisions of Part 1, OMB Circular A-95, it has been or is being made. b. FEDERAL AGENCY A-95 OFFICIAL (Name and telephone no.)		19 77 9 7 33. CONTACT FOR ADDITIONAL INFORMATION (Name and telephone number) 34. STARTING DATE 19 35. ENDING DATE 10 36. REMARKS ADDED <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			

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SECTION IV-REMARKS *(Please reference the proper item number from Sections I, II or III, if applicable)*

GENERAL INSTRUCTIONS

This is a multi-purpose standard form. First, it will be used by applicants as a required facesheet for pre-applications and applications submitted in accordance with Federal Management Circular 74-7. Second, it will be used by Federal agencies to report to Clearinghouses on major actions taken on applications reviewed by clearinghouses in accordance with OMB Circular A-95. Third, it will be used by Federal agencies to notify States of grants-in-aid awarded in accordance with Treasury Circular 1082. Fourth, it may be used, on an optional basis, as a notification of intent from applicants to clearinghouses, as an early initial notice that Federal assistance is to be applied for (clearinghouse procedures will govern).

APPLICANT PROCEDURES FOR SECTION I

Applicant will complete all items in Section I. If an item is not applicable, write "NA". If additional space is needed, insert an asterisk "*", and use the remarks section on the back of the form. An explanation follows for each item:

- | Item | Item |
|--|---|
| 1. Mark appropriate box. Pre-application and application guidance is in FMC 74-7 and Federal agency program instructions. Notification of intent guidance is in Circular A-95 and procedures from clearinghouse. Applicant will not use "Report of Federal Action" box. | D. Insurance. Self explanatory.
E. Other. Explain on remarks page. |
| 2a. Applicant's own control number, if desired. | 10. Governmental unit where significant and meaningful impact could be observed. List only largest unit or units affected, such as State, county, or city. If entire unit affected, list it rather than subunits. |
| 2b. Date Section I is prepared. | 11. Estimated number of persons directly benefiting from project. |
| 3a. Number assigned by State clearinghouse, or if delegated by State, by areawide clearinghouse. All requests to Federal agencies must contain this identifier if the program is covered by Circular A-95 and required by applicable State/areawide clearinghouse procedures. If in doubt, consult your clearinghouse. | 12. Use appropriate code letter. Definitions are:
A. New. A submittal for the first time for a new project.
B. Renewal. An extension for an additional funding/budget period for a project having no projected completion date, but for which Federal support must be renewed each year.
C. Revision. A modification to project nature or scope which may result in funding change (increase or decrease).
D. Continuation. An extension for an additional funding/budget period for a project the agency initially agreed to fund for a definite number of years.
E. Augmentation. A requirement for additional funds for a project previously awarded funds in the same funding/budget period. Project nature and scope unchanged. |
| 3b. Date applicant notified of clearinghouse identifier. | 13. Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions will be included. If the action is a change in dollar amount of an existing grant (a revision or augmentation), indicate only the amount of the change. For decreases enclose the amount in parentheses. If both basic and supplemental amounts are included, breakout in remarks. For multiple program funding, use totals and show program breakouts in remarks. Item definitions: 13a, amount requested from Federal Government; 13b, amount applicant will contribute; 13c, amount from State, if applicant is not a State; 13d, amount from local government, if applicant is not a local government; 13e, amount from any other sources, explain in remarks. |
| 4a-4h. Legal name of applicant/recipient, name of primary organizational unit which will undertake the assistance activity, complete address of applicant, and name and telephone number of person who can provide further information about this request. | 14a. Self explanatory. |
| 5. Employer identification number of applicant as assigned by Internal Revenue Service. | 14b. The district(s) where most of actual work will be accomplished. If city-wide or State-wide, covering several districts, write "city-wide" or "State-wide." |
| 6a. Use Catalog of Federal Domestic Assistance number assigned to program under which assistance is requested. If more than one program (e.g., joint-funding) write "multiple" and explain in remarks. If unknown, cite Public Law or U.S. Code. | 15. Complete only for revisions (item 12c), or augmentations (item 12e). |
| 6b. Program title from Federal Catalog. Abbreviate if necessary. | |
| 7. Brief title and appropriate description of project. For notification of intent, continue in remarks section if necessary to convey proper description. | |
| 8. Mostly self-explanatory. "City" includes town, township or other municipality. | |
| 9. Check the type(s) of assistance requested. The definitions of the terms are:
A. Basic Grant. An original request for Federal funds. This would not include any contribution provided under a supplemental grant.
B. Supplemental Grant. A request to increase a basic grant in certain cases where the eligible applicant cannot supply the required matching share of the basic Federal program (e.g., grants awarded by the Appalachian Regional Commission to provide the applicant a matching share).
C. Loan. Self explanatory. | |

- | | |
|--|---|
| <p>Item</p> <p>16. Approximate date project expected to begin (usually associated with estimated date of availability of funding).</p> <p>17. Estimated number of months to complete project after Federal funds are available.</p> <p>18. Estimated date preapplication/application will be submitted to Federal agency if this project requires clearinghouse review. If review not required, this date would usually be same as date in Item 2b.</p> | <p>Item</p> <p>19. Existing Federal identification number if this is not a new request and directly relates to a previous Federal action. Otherwise write "NA".</p> <p>20. Indicate Federal agency to which this request is addressed. Street address not required, but do use ZIP.</p> <p>21. Check appropriate box as to whether Section IV of form contains remarks and/or additional remarks are attached.</p> |
|--|---|

APPLICANT PROCEDURES FOR SECTION II

Applicants will always complete items 23a, 23b, and 23c. If clearinghouse review is required, item 22b must be fully completed. An explanation follows for each item:

- | | |
|--|--|
| <p>Item</p> <p>22b. List clearinghouses to which submitted and show in appropriate blocks the status of their responses. For more than three clearinghouses, continue in remarks section. All written comments submitted by or through clearinghouses must be attached.</p> <p>23a. Name and title of authorized representative of legal applicant.</p> | <p>Item</p> <p>23b. Self explanatory.</p> <p>23c. Self explanatory.</p> <p>Note: Applicant completes only Sections I and II. Section III is completed by Federal agencies.</p> |
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FEDERAL AGENCY PROCEDURES FOR SECTION III

If applicant-supplied information in Sections I and II needs no updating or adjustment to fit the final Federal action, the Federal agency will complete Section III only. An explanation for each item follows:

- | | |
|--|---|
| <p>Item</p> <p>24. Executive department or independent agency having program administration responsibility.</p> <p>25. Self explanatory.</p> <p>26. Primary organizational unit below department level having direct program management responsibility.</p> <p>27. Office directly monitoring the program.</p> <p>28. Use to identify non-award actions where Federal grant identifier in item 30 is not applicable or will not suffice.</p> <p>29. Complete address of administering office shown in item 25.</p> <p>30. Use to identify award actions where different from Federal application identifier in item 28.</p> <p>31. Self explanatory. Use remarks section to amplify where appropriate.</p> <p>32. Amount to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions will be included. If the action is a change in dollar amount of an existing grant (a revision or augmentation), indicate only the amount of change. For decreases, enclose the amount in parentheses. If both basic and supplemental amounts are included, breakout in remarks. For multiple program funding, use totals and show program breakouts in remarks. Item definitions: 32a, amount awarded by Federal Government; 32b, amount applicant will contribute; 32c, amount from State, if applicant is not a State; 32d, amount from local government if applicant is not a local government; 32e, amount from any other sources, explain in remarks.</p> <p>33. Date action was taken on this request.</p> <p>34. Date funds will become available.</p> | <p>Item</p> <p>35. Name and telephone no. of agency person who can provide more information regarding this assistance.</p> <p>36. Date after which funds will no longer be available.</p> <p>37. Check appropriate box as to whether Section IV of form contains Federal remarks and/or attachment of additional remarks.</p> <p>38. For use with A-95 action notices only. Name and telephone of person who can assure that appropriate A-95 action has been taken—if same as person shown in item 35, write "same". If not applicable, write "NA".</p> |
|--|---|

Federal Agency Procedures—special considerations

- A. *Treasury Circular 1082 compliance.* Federal agency will assure proper completion of Sections I and III. If Section I is being completed by Federal agency, all applicable items must be filled in. Addresses of State Information Reception Agencies (SCIRA's) are provided by Treasury Department to each agency. This form replaces SF 240, which will no longer be used.
- B. *OMB Circular A-95 compliance.* Federal agency will assure proper completion of Sections I, II, and III. This form is required for notifying all reviewing clearinghouses of major actions on all programs reviewed under A-95. Addresses of State and areawide clearinghouses are provided by OMB to each agency. Substantive differences between applicant's request and/or clearinghouse recommendations, and the project as finally awarded will be explained in A-95 notifications to clearinghouses.
- C. *Special note.* In most, but not all States, the A-95 State clearinghouse and the (TC 1082) SCIRA are the same office. In such cases, the A-95 award notice to the State clearinghouse will fulfill the TC 1082 award notice requirement to the State SCIRA. Duplicate notification should be avoided.

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AC 150/5900-1B

Appendix 1

DEPARTMENT OF TRANSPORTATION - FEDERAL AVIATION ADMINISTRATION

PART II

OMB NO. 80-RO 186

PROJECT APPROVAL INFORMATION

Item 1.

Does this assistance request require State, local, regional, or other priority rating?

☐ Yes ☒ No

Name of Governing Body _____

Priority Rating _____

Item 2.

Does this assistance request require State, or local advisory, educational or health clearances?

☐ Yes ☒ No (Attach Documentation)

Name of Agency or Board _____

Item 3.

Does this assistance request require clearinghouse review in accordance with OMB Circular A-95?

☒ Yes ☐ No

(Attach Comments)

Item 4.

Does this assistance request require State, local, regional or other planning approval?

☐ Yes ☒ No

Name of Approving Agency _____

Date _____

(Note: See paragraph 24a of this advisory circular)

Item 5.

Is the proposed project covered by an approved comprehensive plan?

☒ Yes ☐ NoCheck one: State ☐Local ☐Regional ☒

(Note: See paragraph 24a of this advisory circular)

Location of Plan _____

Item 6.

Will the assistance requested serve a Federal installation?

☐ Yes ☒ No

Name of Federal Installation _____

Federal Population benefiting from Project _____

Item 7.

Will the assistance requested be on Federal land or installation?

☐ Yes ☒ No

Name of Federal Installation _____

Location of Federal Land _____

Percent of Project _____

Item 8.

Will the assistance requested have an impact or effect on the environment?

☐ Yes ☒ No

See instructions for additional information to be provided.

Item 9.

Will the assistance requested cause the displacement of individuals, families, businesses, or farms?

☐ Yes ☒ No

Number of:

Individuals _____

Families _____

Businesses _____

Farms _____

Item 10.

Is there other related assistance on this project previous, pending, or anticipated?

☐ Yes ☒ No

See instructions for additional information to be provided.

INSTRUCTIONS

PART II

Negative answers will not require an explanation unless the Federal agency requests more information at a later date. Provide supplementary data for all "Yes" answers in the space provided in accordance with the following instructions:

Item 1 — Provide the name of the governing body establishing the priority system and the priority rating assigned to this project.

Item 2 — Provide the name of the agency or board which issued the clearance and attach the documentation of status or approval.

Item 3 — Attach the clearinghouse comments for the application in accordance with the instructions contained in Office of Management and Budget Circular No. A-95. If comments were submitted previously with a preapplication, do not submit them again but any additional comments received from the clearinghouse should be submitted with this application.

Item 4 — Furnish the name of the approving agency and the approval date.

Item 5 — Show whether the approved comprehensive plan is State, local or regional, or if none of these, explain the

scope of the plan. Give the location where the approved plan is available for examination and state whether this project is in conformance with the plan.

Item 6 — Show the population residing or working on the Federal installation who will benefit from this project.

Item 7 — Show the percentage of the project work that will be conducted on federally-owned or leased land. Give the name of the Federal installation and its location.

Item 8 — Describe briefly the possible beneficial and harmful impact on the environment of the proposed project. If an adverse environmental impact is anticipated, explain what action will be taken to minimize the impact. Federal agencies will provide separate instructions if additional data is needed.

Item 9 — State the number of individuals, families, businesses, or farms this project will displace. Federal agencies will provide separate instructions if additional data is needed.

Item 10 — Show the Federal Domestic Assistance Catalog number, the program name, the type of assistance, the status and the amount of each project where there is related previous, pending or anticipated assistance. Use additional sheets, if needed.

PART III - BUDGET INFORMATION

SECTION A - BUDGET SUMMARY

Grant Program, Function or Activity (a)	Federal Catalog No. (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1. PGP	20.103	\$	\$	\$ 40,000	\$ 10,000	\$ 50,000
2.						
3.						
4.						
5. TOTALS		\$	\$	\$	\$	\$

SECTION B - BUDGET CATEGORIES

6. Object Class Categories	- Grant Program, Function or Activity				Total (\$)
	(1) PGP	(2)	(3)	(4)	
a. Personnel	\$	\$	\$	\$	\$
b. Fringe Benefits					
c. Travel					
d. Equipment					
e. Supplies					
f. Contractual	48,000				48,000
g. Construction					
h. Other (Administration)	2,000				2,000
i. Total Direct Charges					
j. Indirect Charges					
k. TOTALS	\$ 50,000	\$	\$	\$	\$ 50,000
7. Program Income	\$	\$	\$	\$	\$

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Appendix 1

INSTRUCTIONS

PART III

General Instructions

This form is designed so that application can be made for funds from one or more grant programs. In preparing the budget, adhere to any existing Federal grantor agency guidelines which prescribe how and whether budgeted amounts should be separately shown for different functions or activities within the program. For some programs, grantor agencies may require budgets to be separately shown by function or activity. For other programs, grantor agencies may not require a breakdown by function or activity. Sections A, B, C, and D should include budget estimates for the whole project except when applying for assistance which requires Federal authorization in annual or other funding period increments. In the latter case, Sections A, B, C, and D should provide the budget for the first budget period (usually a year) and Section E should present the need for Federal assistance in the subsequent budget periods. All applications should contain a breakdown by the object class categories shown in Lines a-k of Section B.

Section A. Budget Summary

Lines 1-4, Columns (a) and (b).

For applications pertaining to a *single* Federal grant program (Federal Domestic Assistance Catalog number) and *not requiring* a functional or activity breakdown, enter on Line 1 under Column (a) the catalog program title and the catalog number in Column (b).

For applications pertaining to a *single* program requiring budget amounts by multiple functions or activities, enter the name of each activity or function on each line in Column (a), and enter the catalog number in Column (b). For applications pertaining to *multiple* programs where *none* of the programs *require* a breakdown by function or activity, enter the catalog program title on each line in Column (a) and the respective catalog number on each line in Column (b).

For applications pertaining to *multiple* programs where one or more programs *require* a breakdown by function or activity, prepare a separate sheet for each program requiring the breakdown. Additional sheets should be used when one form does not provide adequate space for all breakdown of data required. However, when more than one sheet is used, the first page should provide the summary totals by programs.

Lines 1-4, Columns (c) through (g).

For *new* applications, leave Columns (c) and (d) blank. For each line entry in Columns (a) and (b), enter in Columns (e), (f), and (g) the appropriate amounts of funds needed to support the project for the first funding period (usually a year).

For *continuing* grant program applications, submit these forms before the end of each funding period as required by

the grantor agency. Enter in Columns (c) and (d) the estimated amounts of funds which will remain unobligated at the end of the grant funding period *only* if the Federal grantor agency instructions provide for this. Otherwise, leave these columns blank. Enter in columns (e) and (f) the amounts of funds needed for the upcoming period. The amount(s) in Column (g) should be the sum of amounts in Columns (e) and (f).

For *supplemental grants and changes to existing grants*, do not use Columns (c) and (d). Enter in Column (e) the amount of the increase or decrease of Federal funds and enter in Column (f) the amount of the increase or decrease of non-Federal funds. In Column (g) enter the new total budgeted amount (Federal and non-Federal) which includes the total previous authorized budgeted amounts plus or minus, as appropriate, the amounts shown in Columns (e) and (f). The amount(s) in Column (g) should *not* equal the sum of amounts in Columns (e) and (f).

Line 5 — Show the totals for all columns used.

Section B. Budget Categories

In the column headings (1) through (4), enter the titles of the same programs, functions, and activities shown on Lines 1-4, Column (a), Section A. When additional sheets were prepared for Section A, provide similar column headings on each sheet. For each program, function or activity, fill in the total requirements for funds (both Federal and non-Federal) by object class categories.

Lines 6a-h — Show the estimated amount for each direct cost budget (object class) category for each column with program, function or activity heading.

Line 6i — Show the totals of Lines 6a to 6h in each column.

Line 6j — Show the amount of indirect cost. Refer to Office of Management and Budget Circular No. A-87.

Line 6k — Enter the total of amounts on Lines 6i and 6j. For all applications for new grants and continuation grants the total amount in column (5), Line 6k, should be the same as the total amount shown in Section A, Column (g), Line 5. For supplemental grants and changes to grants, the total amount of the increase or decrease as shown in Columns (1)-(4), Line 6k should be the same as the sum of the amounts in Section A, Columns (e) and (f) on Line 5. When additional sheets were prepared, the last two sentences apply only to the first page with summary totals.

Line 7 — Enter the estimated amount of income, if any, expected to be generated from this project. Do not add or subtract this amount from the total project amount. Show under the program narrative statement the nature and source of income. The estimated amount of program income may be considered by the Federal grantor agency in determining the total amount of the grant.

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SECTION C - NON-FEDERAL RESOURCES

	(a) Grant Program	(b) APPLICANT	(c) STATE	(d) OTHER SOURCES	(e) TOTALS
8	PGP	\$ 5,000	\$ 5,000	\$ -	\$ 10,000
9					
10					
11					
12	TOTALS	\$ 5,000	\$ 5,000	\$ -	\$ 10,000

SECTION D - FORECASTED CASH NEEDS

	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
13 Federal	\$ 40,000	\$ 8,000	\$ 16,000	\$ 8,000	\$ 8,000
14 Non-Federal	10,000	2,000	4,000	2,000	2,000
15 TOTAL	\$ 50,000	\$ 10,000	\$ 20,000	\$ 10,000	\$ 10,000

SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT

(a) Grant Program	FUTURE FUNDING PERIODS (YEARS)			
	(b) FIRST	(c) SECOND	(d) THIRD	(e) FOURTH
16.	\$	\$	\$	\$
17.				
18.				
19.				
20. TOTALS	\$	\$	\$	\$

SECTION F - OTHER BUDGET INFORMATION

(Attach additional Sheets If Necessary)

- 21 Direct Charges: See Attached Sheets
- 22 Indirect Charges: (Note: Attach additional sheets showing a cost and manhour breakdown by study work elements.)
23. Remarks:

PART IV PROGRAM NARRATIVE (Attach per instruction)

PART III (continued)

Section C. Source of Non-Federal Resources

Line 8-11 — Enter amounts of non-Federal resources that will be used on the grant. If in-kind contributions are included, provide a brief explanation on a separate sheet. (See Attachment F, Office of Management and Budget Circular No. A-102.)

Column (a), — Enter the program titles identical to Column (a), Section A. A breakdown by function or activity is not necessary.

Column (b) — Enter the amount of cash and in-kind contributions to be made by the applicant as shown in Section A. (See also Attachment F, Office of Management and Budget Circular No. A-102.)

Column (c) — Enter the State contribution if the applicant is *not* a State or State agency. Applicants which are a State or State agencies should leave this column blank.

Column (d) — Enter the amount of cash and in-kind contributions to be made from all other sources.

Column (e) — Enter totals of Columns (b), (c), and (d).

Line 12 — Enter the total for each of Columns (b)-(e). The amount in Column (e) should be equal to the amount on Line 5, Column (f), Section A.

Section D. Forecasted Cash Needs

Line 13 — Enter the amount of cash needed by quarter from the grantor agency during the first year.

Line 14 — Enter the amount of cash from all other sources needed by quarter during the first year.

Line 15 — Enter the totals of amounts on Lines 13 and 14.

Section E. Budget Estimates of Federal Funds Needed for Balance of the Project

Lines 16-19 — Enter in Column (a) the same grant program titles shown in Column (a), Section A. A breakdown by function or activity is not necessary. For new applications and continuing grant applications, enter in the proper columns amounts of Federal funds which will be needed to complete the program or project over the succeeding funding periods (usually in years). This Section need not be completed for amendments, changes, or supplements to funds for the current year of existing grants.

If more than four lines are needed to list the program titles submit additional schedules as necessary.

Line 20 — Enter the total for each of the Columns (b)-(e). When additional schedules are prepared for this Section, annotate accordingly and show the overall totals on this line.

INSTRUCTIONS

Section F — Other Budget Information.

Line 21 — Use this space to explain amounts for individual direct object cost categories that may appear to be out of the ordinary or to explain the details as required by the Federal grantor agency.

Line 22 — Enter the type of indirect rate (provisional, pre-determined, final or fixed) that will be in effect during the funding period, the estimated amount of the base to which the rate is applied, and the total indirect expense.

Line 23 — Provide any other explanations required herein or any other comments deemed necessary.

PART IV PROGRAM NARRATIVE

Prepare the program narrative statement in accordance with the following instructions for all new grant programs. Requests for continuation or refunding and changes on an approved project should respond to item 5b only. Requests for supplemental assistance should respond to question 5c only.

1. OBJECTIVES AND NEED FOR THIS ASSISTANCE.

Pinpoint any relevant physical, economic, social, financial, institutional, or other problems requiring a solution. Demonstrate the need for assistance and state the principal and subordinate objectives of the project. Supporting documentation or other testimonies from concerned interests other than the applicant may be used. Any relevant data based on planning studies should be included or footnoted.

2. RESULTS OR BENEFITS EXPECTED.

Identify results and benefits to be derived. For example, when applying for a grant to establish a neighborhood health center provide a description of who will occupy the facility, how the facility will be used, and how the facility will benefit the general public.

3. APPROACH.

- Outline a plan of action pertaining to the scope and detail of how the proposed work will be accomplished for each grant program, function or activity, provided in the budget. Cite factors which might accelerate or decelerate the work and your reason for taking this approach as opposed to others. Describe any unusual features of the project such as design or technological innovations, reductions in cost or time, or extraordinary social and community involvement.
- Provide for each grant program, function or activity, quantitative monthly or quarterly projections of the

accomplishments to be achieved in such terms as the number of jobs created; the number of people served; and the number of patients treated. When accomplishments cannot be quantified by activity or function, list them in chronological order to show the schedule of accomplishments and their target dates.

- Identify the kinds of data to be collected and maintained and discuss the criteria to be used to evaluate the results and successes of the project. Explain the methodology that will be used to determine if the needs identified and discussed are being met and if the results and benefits identified in item 2 are being achieved.
- List organizations, cooperators, consultants, or other key individuals who will work on the project along with a short description of the nature of their effort or contribution.

4. GEOGRAPHIC LOCATION.

Give a precise location of the project or area to be served by the proposed project. Maps or other graphic aids may be attached.

5. IF APPLICABLE, PROVIDE THE FOLLOWING INFORMATION:

- For research or demonstration assistance requests, present a biographical sketch of the program director with the following information: name, address, phone number, background, and other qualifying experience for the project. Also, list the name, training and background for other key personnel engaged in the project.
- Discuss accomplishments to date and list in chronological order a schedule of accomplishments, progress or milestones anticipated with the new funding request. If there have been significant changes in the project objectives, location approach, or time delays, explain and justify. For other requests for changes or amendments, explain the reason for the change(s). If the scope or objectives have changed or an extension of time is necessary, explain the circumstances and justify. If the total budget has been exceeded, or if individual budget items have changed more than the prescribed limits contained in Attachment K to Office of Management and Budget Circular No. A-102, explain and justify the change and its effect on the project.
- For supplemental assistance requests, explain the reason for the request and justify the need for additional funding.

DEPARTMENT OF TRANSPORTATION - FEDERAL AVIATION ADMINISTRATION

PART V

ASSURANCES

The Applicant hereby assures and certifies that he will comply with the regulations, policies, guidelines, and requirements including OMB Circulars Nos. A-87, A-95, and A-102, as they relate to the application, acceptance and use of Federal funds for this Federally assisted project. Also the Applicant assures and certifies with respect to the grant that:

1. It possesses legal authority to apply for the grant; that a resolution, motion or similar action has been duly adopted or passed as an official act of the applicant's governing body, authorizing the filing of the application, including all understandings and assurances contained therein, and directing and authorizing the person identified as the official representative of the applicant to act in connection with the application and to provide such additional information as may be required.
2. It will comply with Title VI of the Civil Rights Act of 1964 (P.L. 88-352) and in accordance with Title VI of that Act, no person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the applicant receives Federal financial assistance and will immediately take any measures necessary to effectuate this agreement.
3. It will comply with Title VI of the Civil Rights Act of 1964 (42 USC 2000d) prohibiting employment discrimination where (1) the primary purpose of a grant is to provide employment or (2) discriminatory employment practices will result in unequal treatment of persons who are or should be benefiting from the grant-aided activity.
4. It will comply with requirements of the provisions of the Uniform Relocation Assistance and Real Property Acquisitions Act of 1970 (P.L. 91-646) which provides for fair and equitable treatment of persons displaced as a result of Federal and federally assisted programs.
5. It will comply with the provisions of the Hatch Act which limit the political activity of employees.
6. It will comply with the minimum wage and maximum hours provisions of the Federal Fair Labor Standards Act, as they apply to hospital and educational institution employees of State and local governments.
7. It will establish safeguards to prohibit employees from using their positions for a purpose that is or gives the appearance of being motivated by a desire for private gain for themselves or others, particularly those with whom they have family, business, or other ties.
8. It will give the grantor agency or the Comptroller General through any authorized representative the access to and the right to examine all records, books, papers, or documents related to the grant.
9. It will comply with all requirements imposed by the Federal grantor agency concerning special requirements of law, program requirements, and other administrative requirements approved in accordance with Office of Management and Budget Circular No. A-102.

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DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION
STANDARD DOT TITLE VI ASSURANCES
(FOR USE WITH PLANNING GRANT APPLICATION)

The _____
(hereinafter referred to as the "Sponsor") HEREBY AGREES THAT as a condition to receiving any Federal financial assistance from the Department of Transportation, it will comply with Title VI of the Civil Rights Act of 1964, 78 Stat. 252, 42 U.S.C. 2000d-4 (hereinafter referred to as the Act), and all requirements imposed by or pursuant to Title 49, Code of Federal Regulations, Department of Transportation, Subtitle A, Office of the Secretary, Part 21, Nondiscrimination in Federally-Assisted Programs of the Department of Transportation—Effectuation of Title VI of the Civil Rights Act of 1964 (hereinafter referred to as the Regulations) and other pertinent directives, to the end that in accordance with the Act, Regulations, and other pertinent directives, no person in the United States shall, on the grounds of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the sponsor receives Federal financial assistance from the Department of Transportation, including the Federal Aviation Administration, and HEREBY GIVES ASSURANCE THAT it will promptly take any measures necessary to effectuate this agreement. This assurance is required by subsection 21.7(a)(1) of the Regulations.

More specifically and without limiting the above general assurance, the Sponsor hereby gives the following specific assurances with respect to its Planning Grant Program.

1. That the Sponsor agrees that each "program," as defined in subsections 21.23(e) and 21.23(b) of the Regulations, will be (with regard to a "program") conducted in compliance with all requirements imposed by, or pursuant to, the Regulations.

2. That the Sponsor shall insert the following notification in all solicitations for bids for work or material subject to the Regulations and made in connection with all Planning Grant Program and, in adapted form, in all proposals for negotiated agreements:

The Sponsor, in accordance with Title VI of the Civil Rights Act of 1964, 78 Stat. 252, 42 U.S.C. 2000d to 2000d-4 and Title 49, Code of Federal Regulations, Department of Transportation, Subtitle A, Office of the Secretary, Part 21, Nondiscrimination in Federally-assisted programs of the Department of Transportation issued pursuant to such Act, hereby notifies all bidders that it will affirmatively insure that in any contract entered into pursuant to this advertisement, minority

business enterprises will be afforded full opportunity to submit bids in response to this invitation and will not be discriminated against on the grounds of race, color, or national origin in consideration for an award.

3. That the Sponsor shall insert the clauses of Appendix A of this assurance in every contract subject to the Act and the Regulations.

4. That this assurance obligates the Sponsor for the period during which Federal financial assistance is extended to the program.

5. The Sponsor shall provide for such methods of administration for the program as are found by the Secretary of Transportation or the official to whom he delegates specific authority to give reasonable guarantee that it, other sponsor, subgrantees, contractors, subcontractors, transferees, successors in interest, and other participants of Federal financial assistance under such program will comply with all requirements imposed or pursuant to the Act, the Regulations and this assurance.

6. The Sponsor agrees that the United States has a right to seek judicial enforcement with regard to any matter arising under the Act, the Regulations, and this assurance.

THIS ASSURANCE is given in consideration of and for the purpose of obtaining any and all Federal grants, loans, contracts, property, discounts or other Federal financial assistance extended after the date hereof to the Sponsor by the Department of Transportation under the Planning Grant Program and is binding on it, other recipients, subgrantees, contractors, subcontractors, transferees, successors in interest and other participants in the Planning Grant Program. The person or persons whose signatures appear below are authorized to sign this assurance on behalf of the Sponsor.

DATED _____

(Sponsor)

by _____
(Signature of Authorized Official)

(Note: See paragraph 24d of this advisory circular.)

APPENDIX A

During the performance of this contract, the contractor, for itself, its assignees and successors in interest (hereinafter referred to as the "contractor") agrees as follows:

(1) Compliance with Regulations: The contractor shall comply with the Regulations relative to nondiscrimination in Federally-assisted programs of the Department of Transportation (hereinafter, "DOT") Title 49, Code of Federal Regulations, Part 21, as they may be amended from time to time, (hereinafter referred to as the Regulations), which are herein incorporated by reference and made a part of this contract.

(2) Nondiscrimination: The contractor, with regard to the work performed by it during the contract, shall not discriminate on the grounds of race, color, or national origin in the selection and retention of subcontractors, including procurements of materials and leases of equipment. The contractor shall not participate either directly or indirectly in the discrimination prohibited by section 21.5 of the Regulations.

(3) Solicitations for Subcontracts, Including Procurements of Materials and Equipment: In all solicitations either by competitive bidding or negotiation made by the contractor for work to be performed under a subcontract, including procurements of materials or leases of equipment, each potential subcontractor or supplier shall be notified by the contractor of the contractor's obligations under this contract and the Regulations relative to nondiscrimination on the grounds of race, color, or national origin.

(4) Information and Reports: The contractor shall provide all information and reports required by the Regulations or directives issued pursuant thereto, and shall permit access to its books, records, accounts, other sources of information, and its facilities as may be determined by the Sponsor or the Federal Aviation Administration to be

pertinent to ascertain compliance with such Regulations, orders and instructions. Where any information required of a contractor is in the exclusive possession of another who fails or refuses to furnish this information, the contractor shall so certify to the Sponsor or the Federal Aviation Administration as appropriate, and shall set forth what efforts it has made to obtain the information.

(5) Sanctions for Noncompliance: In the event of the contractor's noncompliance with the nondiscrimination provisions of this contract, the (Sponsor) shall impose such contract sanctions as it or the Federal Aviation Administration may determine to be appropriate, including, but not limited to:

(a) withholding of payments to the contractor under the contract until the contractor complies, and/or

(b) cancellation, termination or suspension of the contract, in whole or in part.

(6) Incorporation of Provisions: The contractor shall include the provisions of paragraphs (1) through (6) in every subcontract, including procurements of materials and leases of equipment, unless exempted by the Regulations or directives issued pursuant thereto. The contractor shall take such action, with respect to any subcontract or procurement, as the Sponsor or the Federal Aviation Administration may direct as a means of enforcing such provisions including sanctions for non-compliance: Provided, however, that in the event a contractor becomes involved in or is threatened with litigation with a subcontractor or supplier as a result of such direction, the contractor may request the Sponsor to enter into such litigation to protect the interests of the Sponsor, and, in addition, the contractor may request the United States to enter into such litigation to protect the interests of the United States.

EXHIBIT 2. PLANNING GRANT AGREEMENT

DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION

PAGE _____ OF _____ PAGES

PLANNING GRANT AGREEMENT

PART I - OFFER

DATE OF OFFER _____

TYPE OF PLANNING GRANT:

☐ AIRPORT MASTER PLANNING FOR _____

PROJECT NO. _____

CONTRACT NO. _____

☐ AIRPORT SYSTEM PLANNING FOR _____TO: _____

(herein referred to as the "Sponsor")

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

WHEREAS, the Sponsor has submitted to the FAA, an Airport _____ Planning Grant Application
(Master or System)
dated _____ (herein called the "Planning Application"), for a grant of funds
for a project for the development for planning purposes of information and guidance to determine the extent, type, and
nature of development needed for _____
(airport area name and/or location)_____
(herein called the _____), which Planning Application as
(airport or area)
approved by the FAA is hereby incorporated herein and made a part hereof; and WHEREAS, the FAA has approved a project
for the development of plans for the _____ (herein called the "Planning Project") consisting
(airport or area)
of the following approved airport _____ planning:
(master or system)

all as more particularly described in the Description of Work Program incorporated in the said Planning Application;

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PAGE _____ OF _____ PAGES

NOW THEREFORE, pursuant to and for the purpose of carrying out the provisions of the Airport and Airway Development Act of 1970, as amended, and in consideration of (a) the Sponsor's adoption and ratification of the representations and assurances contained in said Planning 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 airport _____
(master or system)

planning included in the Planning Application, THE FEDERAL AVIATION ADMINISTRATION, FOR AND ON BEHALF OF THE UNITED STATES, HEREBY OFFERS AND AGREES to pay, as the United States share _____ percent of the allowable costs incurred in accomplishing the Planning Project, subject to the following terms and conditions:

1. The maximum obligation of the United States payable under this Offer shall be \$ _____.
2. The FAA, for and on behalf of the United States, may by written notice terminate or suspend this grant in whole or in part, or withhold payment, in the event that it finds that the Sponsor has:
 - a. Failed to comply with Federal law or with any of the terms and conditions contained in this Planning Grant Agreement;
 - b. Failed to carry out the Planning Project as approved;
 - c. Made unauthorized or improper use of grant funds;
 - d. Submitted any application, report, or other document which contains a misrepresentation of a material nature or is incorrect or incomplete in any material respect; or,
 - e. If for any reason continuation of the approved Planning Project is rendered impossible, ineligible, or illegal.

The Sponsor shall take such action relative to termination or suspension as may be required by the FAA in the notice of termination or suspension. In such case termination or suspension shall not affect any otherwise valid and allowable obligations made in good faith prior to receipt of notice of termination or suspension.

3. The Sponsor shall:
 - a. Begin accomplishment of the Planning Project within _____ days after acceptance of this Offer, 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 Planning Project without undue delay and in accordance with the terms hereof, the Airport and Airway Development Act of 1970, and Sections _____ of the Regulations of the Federal Aviation Administration (_____ CFR _____) 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 all planning work in accordance with the Description of Work Program, incorporated herein, or as it may be revised or modified with the approval of the FAA and in accordance with design standards and planning criteria established by the FAA;

PAGE _____ OF _____ PAGES

4. 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 _____ of the Regulations.
 - ~~5. Payment of the United States share of the allowable project costs will be made pursuant to and in accordance with the provisions of Sections _____ 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 _____ of the Regulations and final reimbursement will be made after final review, audit, and acceptance by FAA of the completed Planning Project and after all conditions relating to the Planning Project have been satisfied.~~
 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 Planning 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. All financial records pertaining to the Planning Project shall be made available to authorized representatives of the FAA and the Comptroller General of the United States in conformity to Section _____ of the Regulations.
 9. The Sponsor will, at such times and in such manner as the FAA may require, furnish FAA with periodic reports and statements pertaining to the Planning Project and planning work activities and other related matters covered hereunder.
 - ~~10. Sponsors shall submit for FAA approval prior to their execution all private party or public body contracts to do all or any part of the Planning Project. These contracts shall include applicable terms and conditions as specified by the FAA.~~
 11. The FAA reserves the right to disapprove the Sponsor's employment of specific consultants and their subcontractors to do all or any part of the Planning Project and further reserves the right to disapprove the proposed scope and cost of the professional services.
 12. The FAA reserves the right to disapprove the use of professional level employees of the Sponsor when such employees are designated by the Sponsor to do all or part of the Planning Project.
 13. All published material such as reports, maps, and other documents prepared in connection with the Planning Project and planning work activities shall contain a standard notice that the material was prepared under an Airport _____ Planning Grant provided by FAA. The Sponsor shall make these documents available
(Master or System)
for examination by the public.
- In addition, no material prepared in connection with the Planning Project and planning work activities shall be subject to copyright in the United States or in any other country. The FAA shall have unrestricted authority to publish, disclose, distribute, and otherwise use, in whole or in part, any reports, data, or other materials prepared with Airport Planning Grant funds.
14. The Sponsor agrees to conduct the Planning Project in compliance with all the requirements imposed by or pursuant to Title VI of the Civil Rights Act of 1964 and by Part 21 of the Regulations of the Office of the Secretary of Transportation, as amended.

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15. The Sponsor agrees that neither the approval of the Planning Application nor the tender of this Offer nor the approval of the final airport _____ planning report constitutes an assurance or commitment,
(master or system)
express or implied, by the FAA, that any airport development or unit thereof shown in the planning developed as part of this Planning Application will be approved for inclusion in any pending or future Airport and Airway development Program under the Airport and Airway Development Act of 1970.
16. Condition 5 is hereby deleted and replaced by the following condition:
Payment of the United States share of the allowable project costs will be made pursuant to and in accordance with the provisions of Part 152 of the Federal Aviation Regulations. Final determination as to the allowability of the costs of the project will be made after final audit.
- *17. Condition 10 is not applicable and is hereby deleted.
18. (Other special conditions may be added as appropriate.)

*(Note: Condition 10 may or may not be deleted as conditions warrant.
See paragraph 35 of this advisory circular.)

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Appendix 1

PAGE _____ OF _____ PAGES

Executed in its name by its undersigned officer on this _____ day of _____, 19_____,
in _____, County of _____,
State of _____.

(SEAL)

(LEGAL NAME OF COSPONSOR)

BY _____

(SIGNATURE OF AUTHORIZED OFFICER)

Attest: _____

Title: _____

(TITLE OF AUTHORIZED OFFICER)

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 airport _____ Planning Grant Agreement and the
(Master or System)
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(s)
of _____, and further that, in my opinion,
said airport _____ Planning Grant Agreement
(Master or System)
constitutes a legal and binding obligation of the Sponsor in accordance with the terms thereof.

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

(Signature)

(Title)

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PAGE _____ OF _____ PAGES

The Sponsor's acceptance of this Offer and ratification and adoption of the Planning Application incorporated herein shall be evidenced by execution of this instrument by the Sponsor, as hereinafter provided, and said Offer and Acceptance shall comprise an Airport _____ Planning Grant Agreement, as provided by
(Master or System)

the Airport and Airway Development Act of 1970, constituting the obligations and rights of the United States and the Sponsor with respect to the accomplishment of the Planning Project. Such Airport _____
(Master or System)

Planning Grant Agreement shall become effective upon the Sponsor's acceptance of this Offer.

UNITED STATES OF AMERICA
FEDERAL AVIATION ADMINISTRATION

BY _____
(Title)

PART II - ACCEPTANCE

The _____
_____ (herein referred to as the "Sponsor") does hereby ratify and adopt
all statements, representations, warranties, covenants, and agreements contained in the Airport _____
(Master or System)

Planning Grant 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 in its name by its undersigned officer on this _____ day of _____, 19_____,
in _____, County of _____,
State of _____.

(SEAL)

(LEGAL NAME OF SPONSOR/COSPONSOR)

BY _____
(SIGNATURE OF AUTHORIZED OFFICER)

Attest: _____

(TITLE OF AUTHORIZED OFFICER)

Title: _____

Executed in its name by its undersigned officer on this _____ day of _____, 19_____,
in _____, County of _____,
State of _____.

(SEAL)

(LEGAL NAME OF COSPONSOR)

BY _____
(SIGNATURE OF AUTHORIZED OFFICER)

Attest: _____

(TITLE OF AUTHORIZED OFFICER)

Title: _____

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Appendix 1

EXHIBIT 3. REPORT OF FEDERAL CASH TRANSACTIONS

DEPARTMENT OF TRANSPORTATION - FEDERAL AVIATION ADMINISTRATION		OMB NO. 40-1001	
REPORT OF FEDERAL CASH TRANSACTIONS		Federal Agency and Organizational Element Federal Aviation Administration	
2. Name of Grantee Organization Capital Airport Commission <small>STREET NO. AND NAME</small> 800 Independence Avenue, S.W. <small>CITY STATE ZIP CODE</small> Washington, D.C. 20591		4. Federal Grant No. or Other Identifying No. (Use project no. in grant agreement) --	5. Grantee's Account No. or Identifying No. (Optional) N/A
3. Federal Employer Identification No. 123-45-6789		6. Letter of Credit No. --	7. Last Payment Voucher No. N/A
		8. Number of Payment Vouchers 1	9. No. of Treasury Checks Received 1
		10. Report Period (Month, Day, Year) FROM 3 1 78 TO 6 30 78	
11. STATUS OF FEDERAL CASH			
a. Cash on hand beginning of period		\$ 0	
b. Letter of credit withdrawals		\$ --	
c. Treasury check payments		\$ 9,600	
d. Total receipts (Sum of Lines b and c)		\$ 9,600	
e. Total cash available (Sum of Lines a and d)		\$ 9,600	
f. Gross disbursements		\$ 9,600	
g. Federal share of program income		\$ 0	
h. Net disbursements (Line f minus Line g)		\$ 9,600	
i. Adjustments of prior periods		\$ 0	
j. Cash on hand end of period		\$ 0	
12. The amount in item 11 represents cash requirements for the ensuing days.			
13. OTHER INFORMATION			
a. Interest income		\$	
b. Advances to subgrantees		\$	
14. REMARKS (Attach additional sheets if necessary)			
15. CERTIFICATION -- I certify that to the best of my knowledge and belief this report is true in all respects and that all disbursements have been made for the purposes and conditions of the grant.			
Name		TELEPHONE	
Title		Area Code Number Ext.	
Signature of Authorized Official		Date Report is Submitted	
FOR AGENCY USE ONLY			

**INSTRUCTIONS FOR PREPARING PAGE 1
OF THE REPORT OF FEDERAL CASH
TRANSACTIONS**

Item 1 — Enter the name of the Federal grantor agency and organizational element to which this report is submitted.

Item 2 — Enter the name and complete mailing address including the ZIP Code for the grantee organization.

Item 3 — Enter the employer identification number assigned by the U. S. Internal Revenue Service.

Item 4 — Enter the Federal grant number or other identifying numbers requested by the grantor agency. If this report covers more than one grant, leave this space blank and provide the information on page 2 of this report.

Item 5 — This space is reserved for an account number or other identifying number which may be assigned by the grantee.

Item 6 — Enter the letter of credit number which applies to this report. If all advances were made by Treasury check, enter "NA" for not applicable and leave Items 7 and 8 blank.

Item 7 — Enter the voucher number of the last letter of credit payment voucher (Form TUS 5401) which was credited to your account.

Item 8 — Enter the total number of letter of credit payment vouchers which were credited to your account during the reporting period.

Item 9 — Enter the total number of Treasury checks received during the reporting period, whether or not deposited.

Item 10 — Enter the month, day, and year of the beginning and ending dates of the period covered by this report.

Item 11 — STATUS OF FEDERAL CASH

Line a. Enter the total amount of Federal cash on hand at the beginning of the reporting period including all of the Federal funds on deposit, imprest funds, and undeposited Treasury checks.

Line b. Enter the total amount of all Federal funds received through payment vouchers (Form TUS 5401) which were credited to your account during the reporting period.

Line c. Enter the total amount of all Federal funds received during the reporting period through Treasury checks, whether or not deposited.

Line d. Enter the sum of Lines b and c.

Line e. Enter the sum of Lines a and d.

Line f. Enter the total Federal cash disbursements or payments made during the reporting period including dis-

bursements of cash received as program income. Disbursements as used here also include the amount of advances and payments less refunds to subgrantees or contractors and the amount to which the grantee is entitled for indirect costs and usage charges for buildings and equipment.

Line g. Enter the Federal share of program income received during the reporting period. Enter only the amount of program income which was required to be used on the project or program by the terms of the grant.

Line h. Enter the net disbursements. This amount is the difference between the amount shown on Line f minus the amount on Line g.

Line i. Enter the amount of all adjustments pertaining to prior periods affecting the ending balance which have not been included in any lines above. Identify each grant for which an adjustment was made, and enter an explanation for each adjustment in the "Remarks" space provided.

Line j. Enter the total amount of Federal cash on hand at the end of the reporting period. This amount should include all funds on deposit, imprest funds, and undeposited funds (Line e less Line h plus or minus Line i).

Item 12 — Enter the estimated number of days until the cash on hand, shown on Line 11j, will be expended. If more than three days cash requirements are on hand, provide an explanation in the "Remarks" space as to why the draw-down was made prematurely, or other reasons for the excess cash. The requirement for the explanation does not apply to prescheduled or automatic advances.

Item 13 — OTHER INFORMATION

Line a. Enter the amount of interest earned on advances of Federal funds but not remitted to the grantor agency. If this includes any amount earned and not remitted to the grantor agency for over 60 days, explain in the "Remarks" space. (States and State agencies do not need to complete this line.)

Line b. Enter the amount of advances to subgrantees or other secondary recipients included in Line 11h.

Item 14 — In addition to providing explanations as required above, this space is provided for additional explanation deemed necessary by the grantee and for the information required by the Federal grantor agencies in compliance with the governing legislation.

Item 15 — Complete the certification before submitting this report.

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Appendix 1

EXHIBIT 4. FINANCIAL STATUS REPORT

DEPARTMENT OF TRANSPORTATION - FEDERAL AVIATION ADMINISTRATION

OMB NO. 30-20100

FINANCIAL STATUS REPORT		1. Federal Agency and Organizational Element Federal Aviation Administration		2. Federal Grant No. or Other Identifying No. (Use Project No. and Grant Agreement)		
3. Name and Address of Grantee Organization Capital Airport Commission 800 Independence Avenue, S.W. Washington, D.C. 20591		4. Employer Identification No. 123-45-6789	5. Grantee Account No. or Identifying No. (Optional)	6. Final Report <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	7. Basis of Report <input type="checkbox"/> Cash <input checked="" type="checkbox"/> Accrued Expenditures	
		8. Project Period (Month, Day, Year) FROM 01 01 79 TO 01 10 80		9. Report Period (Month, Day, Year) FROM 01 01 79 TO 01 10 80		
10. STATUS OF FUNDS	PROGRAMS - FUNCTIONS - ACTIVITIES					
	(1) Contractual	(2) Administrative	(3)	(4)	(5)	(6) TOTAL
	a. Total outlays previously reported	0	0			0
	b. Total program outlays this period	48,000	2,000			50,000
	c. Less: Program income credits	0	0			0
	d. Net program outlays this period	48,000	2,000			50,000
	e. Total program outlays to date	48,000	2,000			50,000
	f. Less: Non-Federal share of program outlays	9,600	400			10,000
	g. Total Federal share of program outlays	38,400	1,600			40,000
	h. Total unpaid obligations	0	0			0
	i. Less: Non-Federal share of unpaid obligations	0	0			0
	j. Federal share of unpaid obligations	0	0			0
	k. Total Federal share of outlays and unpaid obligations	38,400	1,600			40,000
l. Total Federal funds authorized	38,400	1,600			40,000	
m. Unobligated balance of Federal funds	0	0			0	
11. Indirect Expenses: a. Type of rate (Mark box) <input type="checkbox"/> Preproposal <input type="checkbox"/> Final <input type="checkbox"/> Predetermined <input type="checkbox"/> Fixed		12. REMARKS (Attach additional sheets if necessary)		13. CERTIFICATION — I certify that to the best of my knowledge and belief this report is correct and complete and that all outlays and unpaid obligations are for the purposes set forth in the grant award documents.		
b. Rate	c. Base			Name Title TELEPHONE Area Code Number Ext.		
d. Total amount	e. Federal share			Signature of Authorized Official Date Report is Submitted		

FAA Form 5100-63 10-79 SUPERSEDES FAA FORM 5100-6

INSTRUCTIONS FOR PREPARING THE FINANCIAL STATUS REPORT

Item 1 - Enter the name of the Federal grantor agency and organizational element to which this report is submitted.

Item 2 - Enter the grant number or other identifying number assigned by the Federal grantor agency.

Item 3 - Enter the name and complete mailing address, including the ZIP code for the grantee organization.

Item 4 - Enter the employer identification number assigned by the U.S. Internal Revenue Service.

Item 5 - This space is reserved for an account number or other identifying numbers which may be assigned by the grantee.

Items 6 and 7 - Mark the appropriate boxes.

Item 8 - Enter the month, day, and year of the beginning and ending of this project period. For formula grants which are not awarded on a project basis, show the grant period.

Item 9 - Enter the month, day, and year of the beginning and ending dates of the period for which this report is prepared. The frequency of the report will be established by the Federal grantor agency.

PLEASE READ BEFORE COMPLETING ITEM 10 - The purpose of vertical Columns (1) through (6) is to provide financial data for each program, function, and activity in the budget as approved by the Federal grantor agency. If additional columns are needed, use as many additional forms as needed and mark "continuation" on each form; however, the summary totals of all programs, functions or activities should be shown in the "total" Column of the first page.

For grants pertaining to a single Federal grant program (catalog number) or several grant programs which do not require a functional or activity classification, enter under Columns (1) through (6) the title of the program(s). For grants pertaining to multiple programs where one or more programs require a further breakdown by function or activity, use a separate form for each program showing the applicable functions or activities in separate columns. For grants containing several functions or activities which are funded from several programs, prepare a separate form for each activity or function when requested by the Federal grantor agency.

Item 10 - STATUS OF FUNDS

Line a. Enter the total outlays reported on Line 10e of the last report. Show zero, if this is the initial report.

Line b. Enter the total gross program outlays for this report period, including disbursements of cash realized as program income. For reports which are prepared on a cash basis, outlays are the sum of actual cash disbursements for goods and services, the amount of indirect expense charged, the value of in-kind contributions applied, and the amount of cash advances and payments made to contractors and subgrantees. For reports prepared on an accrued expenditure basis, outlays are the sum of actual cash disbursements, the amount of indirect expense incurred, the value of in-kind contributions applied, and the net increase (or decrease) in the amounts owed by the grantee for goods and other property received and for services performed by employees, contractors, subgrantees, and other payees.

Line c. Enter the amount of all program income realized in this period which is to be used in the project or program in accordance with the terms of the grant. For reports prepared on a cash basis, enter the amount of cash

income received during the reporting period. For reports prepared on an accrual basis, enter the amount of the net increase (or decrease) in the amount of accrued income since the beginning of the report period.

Line d. This amount should be the difference between amounts shown on Lines b and c.

Line e. Enter the sum of amounts shown on Lines a and d above.

Line f. Enter the amount pertaining to the non-Federal share of program outlays included in the amount on Line e.

Line g. Enter the Federal share of program outlays. The amount should be the difference between Lines e and f.

Line h. When the report is prepared on a cash basis, enter the total amount of unpaid obligations for this project or program including unpaid obligations to subgrantees. If the report is prepared on an accrued expenditure basis, enter the amount of undelivered orders and other outstanding obligations. Do not include any amounts that have been included on Lines a through g. On the final report, Line h should have a zero balance.

Line i. Enter the non-Federal share of unpaid obligations shown on Line h.

Line j. Enter the Federal share of unpaid obligations shown on Line h. The amount shown on this line should be the difference between the amounts on Lines h and i.

Line k. Enter the sum of the amounts shown on Lines g and j. If the report is final, the report should not contain any unpaid obligations.

Item l - Enter the total cumulative amount of Federal funds authorized.

Line m. Enter the unobligated balance of Federal funds. This amount should be the difference between Lines k and l.

Item 11 - INDIRECT EXPENSE

a. Type of rate - Mark the appropriate box.

b. Rate - Enter the rate in effect during the reporting period.

c. Base - Enter the amount of the base to which the rate was applied.

d. Total Amount - Enter the total amount of indirect cost charged during the report period.

e. Federal Share - Enter the amount of the Federal share charged during the report period.

If more than one rate was applied during the project period, include a separate schedule which shows the bases against which the indirect cost rates were applied, the respective indirect rates, the month, day, and year the indirect rates were in effect, amounts of indirect expense charged to the project, and the Federal share of indirect expense charged to the project to date. (See Office of Management and Budget Circular No. A-87 which contains principles for determining allowable costs of grants and contracts with State and local governments.)

Item 12 - Space is provided for any explanation deemed necessary by the grantee or for the provision of information required by the Federal grantor agencies in compliance with the governing legislation.

Item 13 - Complete the certification before submitting this report.

EXHIBIT 5. REQUEST FOR ADVANCE OR REIMBURSEMENT

DEPARTMENT OF TRANSPORTATION - FEDERAL AVIATION ADMINISTRATION				OMB NO. 90-10102
REQUEST FOR ADVANCE OR REIMBURSEMENT		1. Federal Agency and Organizational Element Federal Aviation Admin.	2. Federal Grant No. or Other Identifying No. (Use Project No. on Grant Agreement)	
3. Type of Payment Requested a. <input checked="" type="checkbox"/> Advance <input type="checkbox"/> Reimbursement		b. <input type="checkbox"/> Final <input checked="" type="checkbox"/> Partial		4. Basis of Report <input type="checkbox"/> Cash <input checked="" type="checkbox"/> Accrued Expenditures
5. Partial Payment Request No.		2		
6. Employer Identification No.	7. Grant Account No. or Identifying No. (Optional)		8. Period Covered (Month, Day, Year) FROM	
9. Name of Grantee Organization STREET NO. AND NAME CITY STATE ZIP CODE		10. Name of Payee (If different than Item 9) STREET NO. AND NAME CITY STATE ZIP CODE		
11. COMPUTATION OF AMOUNT REQUESTED				
	PROGRAMS - FUNCTIONS - ACTIVITIES			
	(1)	(2)	(3)	TOTAL
	Contractual	Administrative		
a. Total program outlays to date as of	\$ 11,750	\$ 250	\$	\$12,000
b. Less: Cumulative program income	0	0		0
c. Net program outlays	11,750	250		12,000
d. Estimated net cash outlays for advance period	11,750	250		12,000
e. Total of Lines c and d	23,500	500		24,000
f. Non Federal share of amount on Line e	4,700	100		4,800
g. Federal share of amount on Line e	18,800	400		19,200
h. Federal payments previously requested	9,400	200		9,600
i. Federal share now requested	9,400	200		9,600
j. Monthly advance requirements				
(1) 1st month				
(2) 2nd month				
(3) 3rd month				
12. REMARKS (Attach additional sheets if necessary)				
13. I certify that to the best of my knowledge and belief the data reported above is correct and that all outlays were made in accordance with grant conditions and that payment is due and has not been previously requested.				
Name	Title	TELEPHONE		
		Area Code	Number	Ext.
Signature of Authorized Official		Date Report is Submitted		
FOR AGENCY USE ONLY				

PAA Form 5100-61 10-78 SUPERSEDES FAA FORM 5100-6
5900-2

26-25a

INSTRUCTIONS FOR PREPARING THE REQUEST FOR ADVANCE OR REIMBURSEMENT

Item 1 — Enter the name of the Federal grantor agency and organizational element to which the request is submitted.

Item 2 — Enter the Federal grant number or other identifying number assigned by the Federal grantor agency.

Item 3 — Indicate with an "X" whether the type of payment requested is:

- a. An advance, reimbursement, or both.
- b. Final or partial.

Item 4 — Indicate with an "X" whether the report is prepared on a cash or accrued expenditure basis. All requests which are for advances only shall be prepared on a cash basis.

Item 5 — Enter the partial payment request number for this request.

Item 6 — Enter the employer identification number assigned by the U. S. Internal Revenue Service.

Item 7 — This space is reserved for an account number or other identifying number which may be assigned by the grantee.

Item 8 — Enter the month, day, and year for the beginning and ending of the period covered in this request. If the request is for an advance or for both an advance and reimbursement, show the period that the advance will cover. If the request is for a reimbursement, show the period for which the reimbursement is requested.

Item 9 — Enter the name and complete mailing address, including ZIP Code for the grantee organization.

Item 10 — Enter the name and complete mailing address, including ZIP Code of the payee if it is different than the grantee organization shown in Item 9.

PLEASE READ BEFORE COMPLETING ITEM 11 — The purpose of the vertical Columns (1) through (3) is to provide space for separate cost breakdowns when a large project has been planned and budgeted by program, function, and activity. If additional columns are needed, use as many additional forms as needed and mark "continuation" on each form; however, the summary totals of all programs, functions, or activities should be shown in the "total" Column on the first page.

Item 11 — COMPUTATION OF AMOUNT REQUESTED.

Line a — On the stub enter the month, day, and year of the ending of the accounting period to which this amount applies. Enter program outlays to date in the appropriate columns. For reports which are prepared on a cash basis, outlays are the sum of actual cash disbursements for goods and services, the amount of indirect expenses

charged, the value of in-kind contributions applied, and the amount of cash advances and payments made to sub-contractors and subgrantees. For reports prepared on an accrued expenditure basis, outlays are the sum of the actual cash disbursements, the amount of indirect expenses incurred, the value of in-kind contributions applied, amounts owed by the grantee for goods and other property received, amounts owed for services performed by employees, contractors, subgrantees, and other payees, and amounts becoming owed for which no current service or performance is required.

Line b — Enter the cumulative cash income received to date, if reports are prepared on a cash basis. For reports prepared on an accrued expenditure basis, enter the cumulative income earned to date. Under either basis, enter only the amount applicable to program income which was required to be used for the project or program by the terms of the grant.

Line c — This amount should be the difference between the amounts shown on Line a less the amounts shown on Line b.

Line d — Only when making requests for advance payments, enter the total estimated amount of cash outlays that will be made during the period covered by the advance.

Line e — Enter the total of Lines c and d.

Line f — Enter the non-Federal share of the amount shown on Line e.

Line g — Enter the Federal share of the amount shown on Line e.

Line h — Enter the cumulative amount of Federal payments received and amounts included in outstanding requests.

Line i — Enter the Federal share now requested. (Line g minus Line h).

Line j — Show the amount of advances required by month on each of Lines (1), (2), and (3) when requested by the Federal grantor agency for use in making pre-scheduled advances.

Item 12 — This space is provided for any explanation deemed necessary by the grantee and for any information required by the Federal grantor agency in compliance with the governing legislation.

Item 13 — Complete the certification before submitting this report.

APPENDIX 2. MATCHING SHARE

1. GENERAL. This appendix sets forth criteria and procedures for the allowability and evaluation of cash and in-kind contributions made by sponsors in satisfying matching share requirements of Federal grants.

2. DEFINITIONS. The following definitions apply for the purpose of this appendix:

a. Project Costs. Project costs are all allowable costs as set forth in FMC 74-4 incurred by a sponsor and the value of the in-kind contributions made by the sponsor or third parties in accomplishing the objectives of the grant during the project.

b. Matching Share. In general, matching share represents that portion of project costs not borne by the Federal Government. Usually, a minimum percentage for matching share is prescribed by program legislation, and matching share requirements are included in the grant agreements.

c. Cash Contributions. Cash contributions represent the sponsor's cash outlay, including the outlay of money contributed to the sponsor by other public agencies and institutions and private organizations and individuals. When authorized by Federal legislation, Federal funds received from other grants may be considered as sponsor's cash contributions.

d. In-kind Contributions. In-kind contributions represent the value of noncash contributions provided by the sponsor, other public agencies and institutions, and private organizations and individuals. In-kind contributions may consist of charges for real property and nonexpendable equipment and value of goods and services directly benefiting and specifically identifiable to the grant program. When authorized by Federal legislation, property purchased with Federal funds may be considered as sponsor's in-kind contributions.

3. GENERAL GUIDELINES.

a. Matching share may consist of:

(1) Charges incurred by the sponsor as project costs. Not all charges require cash outlays during the grant period by the sponsor; examples are depreciation and use charges for buildings and equipment.

(2) Project costs financed with cash contributed or donated to the sponsor by other public agencies and institutions and private organizations and individuals.

(3) Project costs represented by services and real or personal property, or use thereof, donated by other public agencies and institutions and private organizations and individuals.

b. All in-kind contributions shall be accepted as part of the sponsor's matching share when such contributions meet the following criteria:

- (1) Are identifiable from the sponsor's records;
- (2) Are not included as contributions for any other Federally assisted program;
- (3) Are necessary and reasonable for proper and efficient accomplishment of project objectives;
- (4) Are types of charges that would be allowable under FMC 74-4;
- (5) Are not paid by the Federal Government under another assistance agreement unless authorized under the other agreement and the laws and regulations it is subject to;
- (6) Are provided in the approved budget when required by the Federal agency; and
- (7) Conform to other provisions of this appendix.

4. SPECIFIC PROCEDURES. Specific procedures for the sponsor in placing the value on in-kind contributions from non-Federal third parties and individuals are set forth below:

a. Valuation of Volunteer Services. Volunteer services may be furnished by professional and technical personnel, consultants, and other skilled and unskilled labor. Each hour of volunteered service may be counted as matching share if the service is an integral and necessary part of an approved program.

(1) Rates for Volunteer Services. Rates for volunteers should be consistent with those regular rates paid for similar work in other activities of the state or local government. In cases where the kinds of skills required for the Federally assisted activities are not funded in the other activities of the sponsor, rates used should be consistent with those paid for similar work in the labor market in which the sponsor competes for the kind of services involved.

(2) Volunteers Employed by Other Organizations. When an employer other than the sponsor furnishes the services of an employee, these services shall be valued at the employee's regular rate of pay (exclusive of fringe benefits and overhead cost) provided these services are in the same skill for which the employee is normally paid.

b. Valuation of Materials. Contributed materials include office supplies, maintenance supplies, or workshop and classroom supplies. Prices assessed to donated materials included in the matching share should be reasonable and should not exceed the cost of the materials to the donor or current market prices, whichever is less, at the time they are charged to the project.

c. Valuation of Donated Equipment, Buildings, and Land or Use of Space.

(1) The method used for charging matching share for donated equipment, buildings, and land may differ depending upon the purpose of the grant as follows:

(i) If the purpose of the grant is to furnish equipment, buildings, or land to the sponsor or otherwise provide a facility, the total value of the donated property may be claimed as a matching share.

(ii) If the purpose of the grant is to support activities that require the use of equipment, buildings, or land on a temporary or part-time basis, depreciation or use charges for equipment and buildings may be made; and fair rental charges for land may be made provided that the grantor agency has approved the charges.

(2) The value of donated property will be determined in accordance with the usual accounting policies of the sponsor with the following qualifications:

(i) Land and Buildings. The value of donated land and buildings may not exceed its fair market value, at the time of donation to the sponsor as established by an independent appraiser (e.g., certified real property appraiser or GSA representatives) and certified by a responsible official of the sponsor.

(ii) Nonexpendable Personal Property. The value of donated nonexpendable personal property shall not exceed the fair market value of equipment and property of the same age and condition at the time of donation.

(iii) Use of Space. The value of donated space shall not exceed the fair rental value of comparable space as established by an independent appraisal of comparable space and facilities in a privately owned building in the same locality.

(iv) Loaned Equipment. The value of loaned equipment shall not exceed its fair rental value.

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d. Valuation of Other Charges. Other necessary charges incurred specifically for and in direct benefit to the grant program on behalf of the sponsor may be accepted as matching share provided that they are adequately supported and permissible under the law. Such charges must be reasonable and properly justifiable.

5. SUPPORTING RECORDS. The following requirements pertain to the sponsor's supporting records for in-kind contributions from non-Federal third parties and individuals:

a. The number of hours of volunteer services must be supported by the same methods and used by the sponsor for its employees.

b. The basis for determining the charges for personal services, material, equipment, buildings, and land must be documented.

APPENDIX 3. PROCUREMENT STANDARDS

This appendix is a reprint of Attachment O to the Office of Management and Budget Circular A-102.

PROCUREMENT STANDARDS

1. This Attachment provides standards for use by grantees in establishing procedures for the procurement of supplies, equipment, construction, and other services with Federal grant funds. These standards are furnished to insure that such materials and services are obtained in an effective manner and in compliance with the provisions of applicable Federal law and Executive orders. No additional requirements shall be imposed by the Federal agencies upon the grantees unless specifically required by Federal law or Executive orders.

2. The Standards contained in this Attachment do not relieve the grantee of the contractual responsibilities arising under its contracts. The grantee is the responsible authority, without recourse to the grantor agency regarding the settlement and satisfaction of all contractual and administrative issues arising out of procurements entered into, in support of a grant. This includes but is not limited to: disputes, claims, protests of award, source evaluation or other matters of a contractual nature. Matters concerning violation of law are to be referred to such local, State, or Federal authority as may have proper jurisdiction.

3. Grantees may use their own procurement regulations which reflect applicable State and local law, rules and regulations provided that procurements made with Federal grant funds adhere to the standards set forth as follows:

(a) The grantee shall maintain a code or standards of conduct which shall govern the performance of its officers, employees, or agents in contracting with and expending Federal grant funds. Grantee's officers, employees, or agents, shall neither solicit nor accept gratuities, favors, or anything of monetary value from contractors or potential contractors. To the extent permissible by State or local law, rules or regulations, such standards shall provide for penalties, sanctions, or other disciplinary actions to be applied for violations of such standards by either the grantee officers, employees, or agents, or by contractors or their agents.

(b) All procurement transactions regardless of whether negotiated or advertised and without regard to dollar value shall be conducted in a manner so as to provide maximum open and free competition. The grantee should be alert to organizational conflicts of interest or non-competitive practices among contractors which may restrict or eliminate competition or otherwise restrain trade.

(c) The grantee shall establish procurement procedures which provide for, as a minimum, the following procedural requirements:

(1) Proposed procurement actions shall be reviewed by grantee officials to avoid purchasing unnecessary or duplicative items. Where appropriate, an analysis shall be made of lease and purchase alternatives to determine which would be the most economical, practical procurement.

(2) Invitations for bids or requests for proposals shall be based upon a clear and accurate description of the technical requirements for the material, product, or service to be procured. Such description shall not, in competitive procurements, contain features which unduly restrict competition. "Brand name or equal" description may be used as a means to define the performance or other salient requirements of a procurement, and when so used the specific features of the named brand which must be met by offerors should be clearly specified.

(3) Positive efforts shall be made by the grantees to utilize small business and minority-owned business sources of supplies and services. Such efforts should allow these sources the maximum feasible opportunity to compete for contracts to be performed utilizing Federal grant funds.

(4) The type of procuring instruments used (i.e., fixed price contracts, cost reimbursable contracts, purchase orders, incentive contracts, etc.), shall be appropriate for the particular procurement and for promoting the best interest of the grant program involved. The "cost-plus-a-percentage-of-cost" method of contracting shall not be used.

(5) Formal advertising, with adequate purchase description, sealed bids, and public openings shall be the required method of procurement unless negotiation pursuant to paragraph (6) below is necessary to accomplish sound procurement. However, procurements of \$10,000 or less need not be so advertised unless otherwise required by State or local law or regulations. Where such advertised bids are obtained the awards shall be made to the responsible bidder whose bid is responsive to the invitation and is most advantageous to the grantee, price and other factors considered. (Factors such as discounts, transportation costs, taxes may be considered in determining the lowest bid.) Invitations for bids shall clearly set forth all requirements which the bidder must fulfill in order for his bid to be evaluated by the grantee. Any or all bids may be rejected when it is in the grantee's interest to do so, and such rejections are in accordance with applicable State and local law, rules, and regulations.

(6) Procurements may be negotiated if it is impracticable and unfeasible to use formal advertising. Generally, procurements may be negotiated by the grantee if:

(a) The public exigency will not permit the delay incident to advertising;

(b) The material or service to be procured is available from only one person or firm; (All contemplated sole source procurements where the aggregate expenditure is expected to exceed \$5,000 shall be referred to the grantor agency for prior approval.)

(c) The aggregate amount involved does not exceed \$10,000;

(d) The contract is for personal or professional services, or for any service to be rendered by a university, college, or other educational institutions;

(e) The material or services are to be procured and used outside the limits of the United States and its possessions;

(f) No acceptable bids have been received after formal advertising;

(g) The purchases are for highly perishable materials or medical supplies, for material or services where the prices are established by law, for technical items or equipment requiring standardization and interchangeability of parts with existing, for experimental, developmental or research work, for supplies purchased for authorized resale, and for technical or specialized supplies requiring substantial initial investment for manufacture;

(h) Otherwise authorized by law, rules, or regulations.

Notwithstanding the existence of circumstances justifying negotiation, competition shall be obtained to the maximum extent practicable.

(7) Contracts shall be made only with responsible contractors who possess the potential ability to perform successfully under the terms and conditions of a proposed procurement. Consideration shall be given to such matters as contractor integrity, record of past performance, financial and technical resources, or accessibility to other necessary resources.

(8) Procurement records or files for purchases in amounts in excess of \$10,000 shall provide at least the following pertinent information: justification for the use of negotiation in lieu of advertising, contractor selection, and the basis for the cost or price negotiated.

(9) A system for contract administration shall be maintained to assure contractor conformance with terms, conditions, and specifications of the contract or order, and to assure adequate and timely followup of all purchases.

4. The grantee shall include, in addition to provisions to define a sound and complete agreement, the following provisions in all contracts and subgrants:

(a) Contracts shall contain such contractual provisions or conditions which will allow for administrative, contractual, or legal remedies in instances where contractors violate or breach contract terms, and provide for such sanctions and penalties as may be appropriate.

(b) All contracts, amounts for which are in excess of \$10,000, shall contain suitable provisions for termination by the grantee including the manner by which it will be effected and the basis for settlement. In addition, such contracts shall describe conditions under which the contract may be terminated for default as well as conditions where the contract may be terminated because of circumstances beyond the control of the contractor.

(c) All contracts awarded by grantees and their contractors or subgrantees having a value of more than \$10,000 shall contain a provision requiring compliance with Executive Order 11246, entitled, "Equal Employment Opportunity," as amended by Executive Order 11375, and as supplemented in Department of Labor regulations (41 CFR Part 60).

(d) All contracts and subgrants for construction or repair shall include a provision for compliance with the Copeland "Anti-Kick Back" Act (18 U.S.C. 874) as supplemented in Department of Labor regulations (29 CFR, Part 3). This Act provides that each contractor or subgrantee shall be prohibited from inducing, by any means, any person employed in the construction, completion, or repair of public work, to give up any part of the compensation to which he is otherwise entitled. The grantee shall report all suspected or reported violations to the grantor agency.

(e) When required by the Federal grant program legislation, all construction contracts awarded by grantees and subgrantees in excess of \$2,000 shall include a provision for compliance with the Davis-Bacon Act (40 U.S.C. 276a to a-7) and as supplemented by Department of Labor regulations (29 CFR, Part 5). Under this Act contractors shall be required to pay wages to laborers and mechanics at a rate not less than the minimum wages specified in a wage determination made by the Secretary of Labor. In addition, contractors shall be required to pay wages not less often than once a week. The grantee shall place a copy of the current prevailing wage determination issued by the Department of Labor in each solicitation and the award of a contract shall be conditioned upon the acceptance of the wage determination. The grantee shall report all suspected or reported violations to the grantor agency.

(f) Where applicable, all contracts awarded by grantees and subgrantees in excess of \$2,000 for construction contracts and in excess of \$2,500 for other contracts which involve the employment of mechanics or laborers shall include a provision for compliance with sections 103 and 107 of the Contract Work Hours and Safety Standards Act (40 U.S.C. 327-330) as supplemented by Department of Labor regulations (29 CFR, Part 5). Under section 103 of the Act, each contractor shall be required to compute the wages of every mechanic and laborer on the basis of a standard work day of 8 hours and a standard work week of 40 hours. Work in excess of the standard workday or workweek is permissible provided that the worker is compensated at a rate of not less than $1\frac{1}{2}$ times the basic rate of pay for all hours worked in excess of 8 hours in any

calendar day or 40 hours in the work week. Section 107 of the Act is applicable to construction work and provides that no laborer or mechanic shall be required to work in surroundings or under working conditions which are unsanitary, hazardous, or dangerous to his health and safety as determined under construction, safety, and health standards promulgated by the Secretary of Labor. These requirements do not apply to the purchases of supplies or materials or articles ordinarily available on the open market, or contracts for transportation or transmission of intelligence.

(g) Contracts or agreements, the principal purpose of which is to create, develop, or improve products, processes or methods; or for exploration into fields which directly concern public health, safety, or welfare; or contracts in the field of science or technology in which there has been little significant experience outside of work funded by Federal assistance, shall contain a notice to the effect that matters regarding rights to inventions, and materials generated under the contract or agreement are subject to the regulations issued by the Federal grantor agency and the grantee. The contractor shall be advised as to the source of additional information regarding these matters.

(h) All negotiated contracts (except those of \$10,000 or less) awarded by effect that the grantee, the Federal grantees shall include a provision to the grantor agency, the Comptroller General of the United States, or any of their duly authorized representatives, shall have access to any books, documents, papers, and records of the contractor which are directly pertinent to a specific grant program for the purpose of making audit, examination, excerpts, and transcriptions.

(i) Contracts and subgrants of amounts in excess of \$100,000 shall contain a provision which requires the recipient to agree to comply with all applicable standards, orders, or regulations issued pursuant to the Clean Air Act of 1970. Violations shall be reported to the grantor agency and the Regional Office of the Environmental Protection Agency.

APPENDIX 4. STUDY DESIGN

1. GENERAL. A study design involves the pre-grant activities necessary to develop the framework for the planning study to support an application request. Examples of such activities include identification of issues; development of the study work scope, schedules, and budget; providing necessary coordination and developing of coordination mechanisms; and the resolution of problems resulting from the A-95 and FAA review processes. Reasonable costs to develop a study design are eligible for retroactive funding. All costs under a cost reimbursable type contract must be fully supported by documentation. Study design costs shall be included as a line item in the cost breakdown section of the application.

2. LIMITATIONS. Where consultants are being used, eligibility is limited to resources expended after their official selection (for the study design or entire study). This should be verified by a letter of intent or some other means. Reimbursement cannot be made for costs incurred to support the preparation of the proposals which led to the consultant's retention or for price negotiations related to the selection or retention process. In the case of study designs developed by the sponsor through force account, costs incurred prior to the grant will be reimbursed only if clearly documented as a study design expenditure and made within a reasonable period of time prior to the submission of the grant application. Reimbursement will not be made for pre-grant activities if the project is rejected by the FAA or withdrawn by the sponsor.

3. STUDY DESIGN CONSIDERATIONS. Study designs for average master planning projects generally are straightforward but should be developed to fit the individual case at hand. AC 150/5070-6 can be used as a guide. For large and complex planning projects such as system plans and master plans for certain large and medium hub air carrier served airports, it may be necessary to develop a comprehensive study design which is issue oriented or involves complicated or unique problems or coordination mechanisms. Such a work scope may result in a separate approvable document. Some basic considerations involved in developing a complex study design include the following:

a. Identification of Issues.

(1) Discussion of major aviation-oriented problems, issues, and opportunities.

(2) Ranking of these issues by order of importance in relation to the goals and objectives of the study.

(3) Analysis of the strategies by which the issues might be successfully approached.

(4) Description of the general criteria and policy objectives to be adhered to or developed.

b. Work Schedule and Budget.

(1) Identification of the scope of the study and its major components.

(2) Description of the anticipated format of the end project.

(3) Identification of the area to be studied, as well as the appropriate geo-political area encompassing the study area.

(4) Description of the job activities needed to accomplish the scope of the study and its components.

(5) Specification of each of the following factors for each component of the study.

(i) Approach and techniques to be used.

(ii) Assessment of data and studies already available.

(iii) Resource requirements in terms of man-hours by types of disciplines.

(iv) Allocation of work between the sponsor, consultants, and others.

(v) Time schedule.

(vi) Costs.

(vii) Scope of funds.

c. Organization and Procedures.

(1) Description of the organizational structure delineating the composition of the policy body; who is to do the technical planning; who is to provide advice and coordination, including a breakdown of the participating and nonparticipating elements. This may result from extensive consultation with all involved parties.

(2) The extent of financial and in-kind or service contributions by members.

(3) Staffing requirements.

- (4) Committee requirements.
- (5) Legal basis for the organization doing the study.
- (6) Mechanisms for citizen participation and for informing the general public of the progress and results of the planning progress, including the nature of arrangements for public hearings.
- (7) Procedures for coordination and review activities of participating and nonparticipating public and private agencies.
- (8) Organizational arrangements and procedures for implementing the plan.
- (9) Organizational arrangements and procedures for establishing and implementing a continuing planning process.