

# ARIZONA BEST PRACTICES GUIDE



A Cooperative Effort by the Arizona Airports Association (AzAA),  
the Federal Aviation Administration (FAA) – Western Pacific Region,  
and the Arizona Department of Transportation (ADOT) – Aeronautics Division.

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U.S. Department  
of Transportation  
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Administration

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# ARIZONA BEST PRACTICE GUIDE

## INTRODUCTION

This Best Practice Guide is the result of the efforts of several entities concerned about providing the best services to Arizona airports' customers. The primary goal of this document is to create a strong partnership between the FAA, ADOT, Sponsors and Consultants.

As a result of building this partnership, the Federal Aviation Administration's (FAA) Western-Pacific Region's Airports Division, the Arizona Department of Transportation/Aeronautics Division (ADOT) and Arizona Airports Association (AzAA) formed an Executive Partnership Committee. The committee worked diligently over the past 1 ½ years to explore opportunities to better meet the needs and expectations of both FAA and other stakeholders. This document is subject to change or revision as needed to address changes in federal or state law, policy, or procedures.

The purpose of this Best Practice Guide is to clarify roles, responsibilities, and expectations of all affected parties when conducting airport related business within the State of Arizona. Also, of great and equal importance, is to ensure that we address and deal with issues in a uniform manner. This Best Practice Guide will help to provide uniformity.

One of the primary goals is to more effectively coordinate among the FAA, ADOT, Sponsor, and Consultant to prepare a capital improvement program and maximize the available funding for each airport in the system. Communicating more frequently and sharing information and justification among the parties is just one step in moving towards a more efficient system.

The Executive Partnership Committee identified the following subjects as the most critical areas needing further clarification. These subject areas are covered within this document:

- I. Roles and Responsibilities**
- II. Communication Process**
- III. General Service Agreements Process**
- IV. Airport Capital Improvement Plan (ACIP) Process**
- V. Master Plan Process**
- VI. Airport Layout Plan Review (ALP) & Approval Process**
- VII. Environmental Overview Process**
- VIII. FAA & ADOT Funding Resources (AIP and PFC) and Process**
- IX. Bid Process**
- X. Contractor Allowance**
- XI. Sponsor Contact List**

*This document is intended to provide guidance only and does not supersede any Federal, State, or Local, laws, or rules and regulations.*

## **I. ROLES AND RESPONSIBILITIES**

It is understood by all parties that collectively all aviation stakeholders have a part in improving relationships amongst stakeholders, while working collaboratively to build and maintain a safe and efficient aviation system within the State of Arizona. To accomplish this task, each stakeholder hereby commits to undertaking the following roles and responsibilities:

**FAA's Role:** FAA's mission is to provide a safe and efficient airspace system that contributes to national security and promotes U.S. Airspace safety. To reach this goal, FAA provides funding through the AIP and PFC program to public-use airports to help meet operational demands, improve safety, achieve FAA standards and needed infrastructure improvement. Projects must contribute to improving National Airspace System (NAS); enhance safety, security, or capacity; reduce noise; or increase air carrier competition. In meeting its mission, FAA commits to work in partnership with each of its stakeholders, seeking opportunities to streamline processes and review time whenever applicable.

**ADOT's Role:** The role of the ADOT-Aeronautics Division is to provide the citizens of Arizona with a safe, balanced and integrated statewide aviation system to meet present and future needs. To accomplish this, the Aeronautics Division will work cooperatively with all entities, both private and public, to develop a system of aviation and related facilities for inter- and multimodal transportation that will meet community needs as expressed through local planning, land use, patterns of commerce and public dialogue; will represent the State of Arizona in planning, developing, maintaining and operating aviation facilities throughout the State; and, will respond to the needs of the public, including their need to know, understand and discuss the aviation transportation issues and developments of the day.

**Sponsor's Role:** The role of the Sponsor is to effectively manage the day-to-day operations, foster and promote the development of the Airport. To accomplish this, the Sponsor must take the lead role and work cooperatively with all parties to successfully manage operations, capital development, operating funds, safety, security, and all other aspects of the Airport. It is vital to continuously maintain open communication and accountability as the Sponsor evaluates the needs of the Airport in the present and in the future. The Sponsor is ultimately held accountable for the Airport, its environment, and to meet the needs of its customer base while complying with all federal, state, and local rules and regulations.

**Consultant's Role:** The primary role of the Consultant is to provide technical support services to the Airport Sponsor. These services may include, but are not limited to, airport planning, engineering/architectural design, construction administration, environmental studies, airport noise and land use studies, financial analysis, and grant administration. The Consultant's role is to assist the sponsor, as contracted, to plan and develop the airport to meet the needs of the community and the airport users. Both the airside and landside facilities should be planned and designed to provide a safe and efficient airport facility. When authorized in writing by the Sponsor, the Consultant may serve as the Sponsor's liaison to both the FAA and ADOT – Aeronautics Division. In many cases, the Sponsor relies on the Consultant to provide not only

sound technical advice on specific projects, but also to assist the Sponsor with their responsibility to comply with all the applicable federal, state, and local rules and regulations. Acting in this role, the Consultant should also coordinate with other appropriate stakeholders during the planning, design, and development of the airport facilities.

## **II. COMMUNICATION PROCESS**

Communication is an essential function for all parties involved in order to foster, promote, and develop airport interests and airport operations in the State of Arizona. The overall goal for each party is to be as responsive as possible to effectively flow information to one another, enhance partnership, and conduct open and honest communication.

**FAA's Role:** FAA commits to providing the best service to all internal and external customers. Over the past few months, FAA has looked extensively within its organization and has made commitments to focus more in the following areas:

1. Promote advance planning and discussion with stakeholders to avoid last-minute surprises.
2. Explore opportunities to improve internal communication within its organization in an effort to minimize delays and confusion.
3. Remain mindful of extenuating circumstances that may make critical its need to respond timely.
4. Work towards improving internal coordination within the FAA in a manner that promotes the utilization of the FAA's Program Manager as a single point of contact for the airport. Under this scenario, the FAA's Program Manager will take the lead in facilitating the integration of other FAA staff into the decision-making process when the subject matter involves more than one FAA program.

**ADOT's role:** The ADOT-Aeronautics Division is committed to:

1. Providing support to all qualified Arizona airports and aviation activities, supporting the federal aid to airports program (Airport Improvement Program) and encouraging as well as facilitating the grant process for its airport sponsors.
2. Ensuring that airport development complies with environmental requirements of the federal, state and local communities. Also ensuring that future airport development will incorporate efficient, effective and economic environmental solutions to address noise, air quality, land use compatibility and other environmental concerns of the public.

**Sponsor's role:** The Sponsor is committed to:

1. Effectively communicate any and all concerns as soon as possible to the other parties in order to jointly work together to effectively resolve an issue.
2. Every effort should be made to resolve a situation at the project management level within the FAA or ADOT. For the most current information regarding the organizational structure for the FAA and State, visit [www.azairports.org](http://www.azairports.org) website.
3. Address all communications to the project manager in either the FAA or ADOT to more accurately flow information within those organizations. This will prevent a potential lag time to get a response from the appropriate party, as well as keep the project manager assigned to the airport abreast of the situation.

4. If applicable, the Sponsor will re-affirm that the Consultant is accurately representing the Sponsor's policy or decision.

**Consultant's role:** It is extremely important that the Consultant effectively, and in a timely manner, communicate with all the project stakeholders. The Consultant plays a critical role in ensuring that project goals, objectives, budgets, and timelines are effectively communicated to the Sponsor, FAA, and ADOT. The Consultant is committed to:

1. Coordinate with the Sponsor to clearly define the role of the consultant and the level of authority that he/she has when representing the Sponsor. Limit the representation to only those roles authorized by the Sponsor.
2. Accurately represent the Sponsor's policies and decisions and act in the Sponsor's best interest and as directed by the Sponsor.
3. Act as an intermediary between Sponsor, FAA, and ADOT, keeping an open, honest, comprehensive, up-to-date flow of information to all appropriate parties.
4. Ensure that copies of all correspondence (hard copy or digital) between consultant and ADOT or FAA are sent to Sponsor.

### **III. GENERAL SERVICE AGREEMENTS (GSA) PROCESS**

A General Services Agreement (GSA) is a multi-year contract between an airport sponsor and a consulting firm for specific airport planning and/or airport engineering/architectural/construction administration services. GSA serves as the ‘master contract’ for future negotiated project related services, commonly referred to as Authorization of Services (AOS) amendments. Services and/or projects performed under a GSA contract must be identified in the “Scope of Services” section of the agreement. Services performed under the GSA may be related to projects that involve federal, state, or local funding sources, or a combination thereof.

#### **A. LENGTH OF AGREEMENT**

GSA contracts should not exceed a 5-year agreement. The GSA should contain a clause that allows the sponsor to terminate the agreement for convenience.

#### **B. SCOPE OF SERVICES**

When a Sponsor issues a Request for Qualifications (RFQ) or a Request for Statement of Qualifications (SOQ) for a GSA contract based on a Qualification-Based Selection (QBS), the RFQ should include a Scope of Services which describes the services (planning, engineering, etc.) that may be accomplished during the term of the agreement. The Scope of Services should also include a specific list of projects from the Sponsor’s 5-year CIP that are included in one or more of the Sponsor’s official documents. It is recommended that the Sponsor use the following documents as a guide to create the plan:

- Airport Master Plan, the Airport Layout Plan
- Airport’s Part 150 Noise Compatibility Program
- Runway Safety Action Team (RSAT) Report
- Airport’s Pavement Maintenance and Management Program (PMMP)
- FAR Part 139 Inspection Report

The Scope of Services included in the final GSA contract should include only the services and projects identified in the RFQ. Each Authorization of Services issued under the GSA should include a more detailed Scope of Services for the specific project that was originally listed as part of the RFP package, a negotiated fee for the project, and a project schedule. Any new services that are not listed in the original RFQ, either directly in the document or by reference in the above listed documents, must be separately bid and awarded through a competitive process.

#### **C. CONSULTANT SELECTION**

If the sponsor expects to utilize federal funding for any of the projects included in the RFQ’s Scope of Services, the Sponsor should utilize the current FAA Advisory Circular (AC) 150/5100-14, *Architectural, Engineering, and Planning Consultant Services for Airport Grant Projects*, as a guideline for the consultant selection process. The Sponsor may use its own selection procedures as long as they are equivalent with the federal qualification-based selection process. The sponsor’s RFQ should be widely advertised in order to provide for the greatest

opportunity for competition. Advertising should be done in local newspapers with a wide circulation, as well as national trade journal, magazines, and web sites. The selection must be made based on the consultant's qualifications only. Costs and/or person hours may not be used or considered during the selection process. Interviews may be held by the Sponsor, but are not a requirement.

**FAA's Role:** FAA accepts the GSA as an effective vehicle for Sponsors to execute projects or services without going through the consultant selection process each time the sponsor decides to implement. FAA will accept the Sponsor's GSA provided that projects within the scope of services are delineated in a manner that clearly communicates what is covered under the GSA. Should FAA determine that the subject GSA is not clearly written, it may require the Sponsor to go out for consultant selection process prior to consideration of federal funding for that project.

**ADOT's role:** Generally speaking, ADOT-Aeronautics will follow the FAA's lead with regard to GSAs. If the FAA determines the Sponsor has satisfied all federal criteria with its use of a GSA for consultant services, the Sponsor may assume ADOT-Aeronautics is satisfied. However, ADOT-Aeronautics may ask for additional information from the Sponsor should it deem such information is necessary or if the GSA and/or the consultant services being performed under the GSA are questioned by a third party.

**Sponsor's role:** If the Sponsor elects to utilize a Consultant to provide airport planning services, engineering/architecture services, or construction administration services for a project funded with Airport Improvement Program (AIP) funding, the Sponsor must use qualification-based selection procedures in the same manner as federal contracts for architectural and engineering services negotiated under Title IX of the Federal Property and Administration Services Act of 1949, or equivalent State/Sponsor qualification-based requirements. The guidelines contained in FAA Advisory Circular 150/5100-14 are recommended (not required) by the FAA to comply with Title 49 Code of Federal Regulations (CFR) § 18.36 when selecting consultants for airport projects funded under federal grant programs.

The Sponsor may also utilize a General Services Agreement (GSA) as a tool to secure the services of a consultant for the planning and/or design and construction administration of airport improvement projects for a timeframe not to exceed five (5) years. The Sponsor shall clearly identify the desired services, projects, and the role of the consultant in both the Request for Qualifications (RFQ) and the GSA. Each individual authorization of services should be reviewed by the Sponsor to ensure that the project scope and fee is appropriate prior to sending them to the FAA and ADOT for review and approval.

**Consultant's role:** The Consultant should have a thorough understanding of the Qualification-Based Selection (QBS) process and the applicable federal, state, and local guidelines relating to consultant selection. If a specific Request for Qualifications (RFQ) issued by a Sponsor does not meet the appropriate federal, state, or local requirements, the deficiency in the RFQ should be brought to the attention of the Sponsor, and if necessary, the FAA and ADOT. After selection, the Consultant may assist the Sponsor in preparation of the GSA contract

to ensure that the required federal, state, and local contractual language is included in it. The Consultant shall also coordinate with the Sponsor to ensure that new Authorization of Services are included in, or directly related to, the projects listed in the original RFQ and GSA.

## **IV. AIRPORT CAPITAL IMPROVEMENT PLAN (ACIP) PROCESS**

The ACIP is a planning tool that identifies future needs at the airports in Arizona for the next 3 (for the FAA funding consideration) to 5 years (for ADOT funding consideration). Several factors must be considered in the preparation process of the sponsor's 5-year Capital Improvement Plan (CIP) that leads to developing the FAA/ADOT ACIP. The proposed project(s) should:

- Be prioritized and fully justified by the sponsor based on true needs and not wants.
- Be consistent with the following documents:
  - Airport Master Plan, the Airport Layout Plan
  - Airport's Part 150 Noise Compatibility Program
  - Runway Safety Action Team (RSAT) Report
  - Airport's Pavement Maintenance and Management Program (PMMP)
  - FAR Part 139 Inspection Report
- Meet eligibility requirements of FAA and ADOT Aeronautics.
- Be phased-in if the project is cost prohibitive based on limited State and Federal funding.
- Be consistent with the national priority system found within FAA Order 5100.39A "Airports Capital Improvement Plan". A copy of **FAA Order 5100.39A** can be found in FAA website: [www.faa.gov/airports](http://www.faa.gov/airports)
- Be the subject of early communication with FAA to ensure proper analysis pursuant to the National Environmental Policy Act (NEPA).

Airports should start the ACIP preparation process early. Sponsors should:

- Conduct Joint Planning Conferences (JPC) with Sponsors, FAA and ADOT.
- Ensure the ALP is current and review short and long-term projects.
- Survey the airport to determine any new needs because of changes in status or conditions (becoming a new Part 139 airport, starting new service, traffic increase, addressing natural disasters, etc.).
- Prioritize needs considering local requirements that must be met (i.e., funding local share, bidding process, etc.)

- Check with state and federal project managers to determine any eligibility issues and environmental requirements, etc.
- Create a realistic program to provide to the FAA and ADOT.

The annual ACIP process is depicted in Figure 1. Airport sponsors should be aware of the timeframes and deadlines presented in the figure and plan their ACIP and grant processes accordingly.

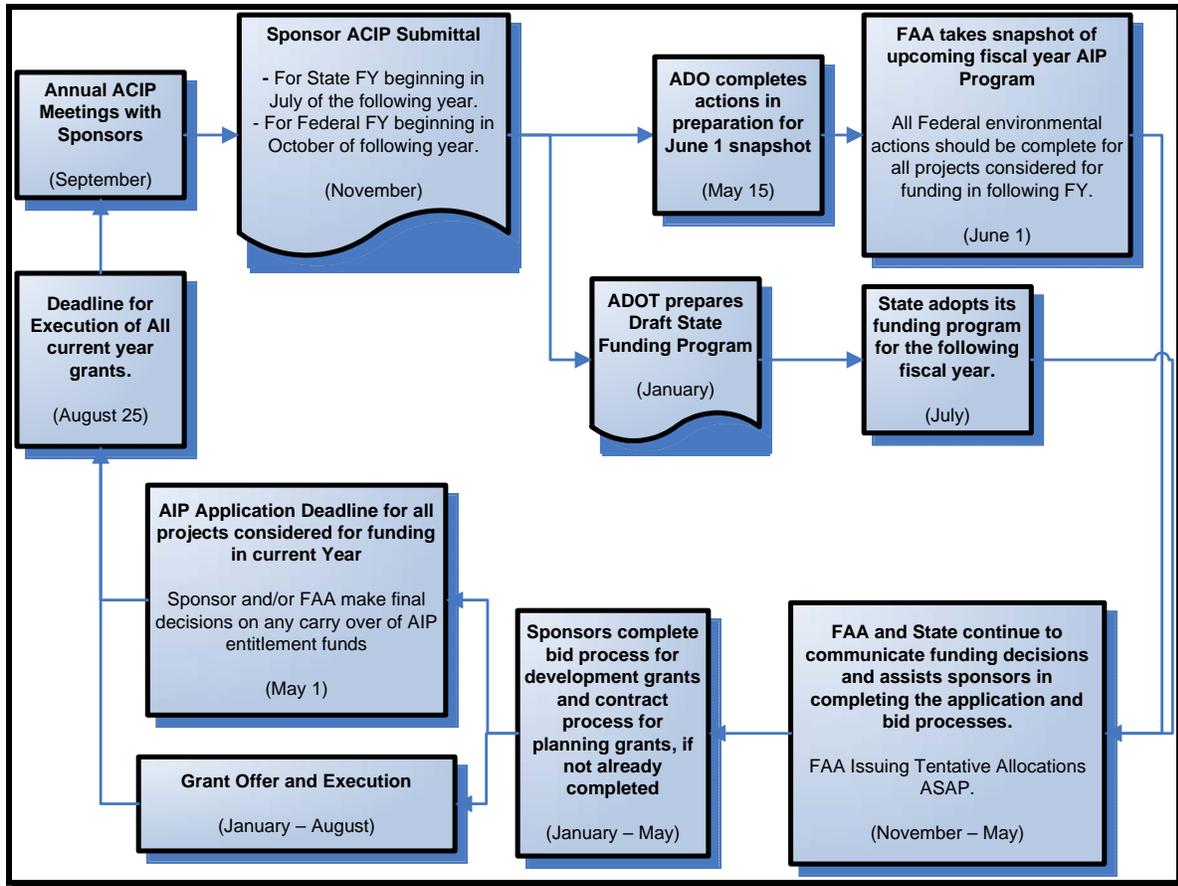


Figure 1

**FAA’s Role:** FAA will work with all parties to process required airspace approval, ALP approval, environmental approval, and coordination with other FAA lines of business. In particular, FAA’s Program Manager will work with ADOT and other FAA staff to assist the Sponsor/Consultant with determining project readiness. The FAA Program Manager will also assist the Sponsor with developing a funding strategy that takes into account the likelihood of limited federal funding. The FAA is supportive of “design only” projects with justification on a case-by-case basis to give the Sponsor comfort to complete the design of a project without the financial burden to airports with limited operating and capital budgets.

**ADOT's role:** The ADOT-Aeronautics Division will work with airports to develop a strategic plan for the most-effective application and use of federal and state airport development funds. The Aeronautics Division develops the Five-Year Airport Capital Improvement Program to parallel the Federal Aviation Administration's Airport Capital Improvement Program and the ADOT's Highway Program, with the dual objective of maximizing the effective use of State dollars for airport development and maximizing FAA funding for Arizona's airports.

The ACIP development process allocates money from the State Aviation Fund and distributes these funds across three major categories of airport development assistance. Upon approval by the State Transportation Board, the Aeronautics Division allocates State Aviation Fund monies to the Airport Development Grants Program, Airport Preventive Maintenance Services (APMS) and the Airport Loan Program.

**Sponsor's role:** The Sponsor should focus on preparing an accurate capital improvement program based on the recommendations above, with accurate data and justification for each project. A "wish-list" is ok for discussion purposes, but the ACIP should accurately reflect a true program and realistic funding expectations. FAA and State will be able to provide the Sponsor the anticipated projects in the early part of the calendar year to help the Sponsor then re-prioritize projects that did not get funded, to help create a more accurate ACIP for the airport.

The Sponsor should continue working with ADOT in the APMS program, but remember that these projects will be added to the 5-year program by ADOT, separately. It is not necessary to incorporate them as part of the ACIP submittal. Coordination between all parties is beneficial to make sure that Sponsors are maximizing all funding sources appropriately. For example, in FYXX, the Sponsor is to receive FAA funds to rehabilitate Taxiway X and, also in the same year, ADOT has APMS funds to crackseal the same Taxiway X.

**Consultant's role:** If requested by the Sponsor, the Consultant may be responsible for providing advice and guidance during the preparation of the ACIP, or the Consultant may be requested to prepare the ACIP documents for the Sponsor's review, approval, and submittal to FAA and ADOT. The Consultant should have a detailed understanding of the ACIP process, project prerequisites (i.e., environmental documentation, ALP update, etc.), project priorities, grant eligibility, and funding requirements and limitations. The ACIP should include detailed project descriptions, concise project justifications, and accurate cost estimates. In summary, the Consultant should assist the Sponsor with the preparation of a "realistic" 5-year ACIP.

## **V. MASTER PLAN PROCESS**

Airport Master Plans (MP) are planning documents that address the current and future status and needs of that airport. Although the FAA does not approve but rather accepts the MP, the FAA provides review and approval of the aviation forecast and the Airport Layout Plan (ALP) resulting from the MP study. More detailed information for preparing a MP study is available in FAA Advisory Circular (AC) #150/ 5070-6. A copy of this AC may be found on the FAA website [www.faa.gov/airports](http://www.faa.gov/airports).

Beginning in Fiscal Year 2007, the Los Angeles-ADO is implementing the new MP application process outlined in the following table:

<b>NEW PROCESS</b>
1- Request for Qualifications (RFQ)
2- Selection of Consultant
3- Finalize Scope of Work (SOW) & Contract
4- Perform Independent Cost Estimate
5- Negotiate Final Contract Cost
6- Application Submission to FAA
7- Grant Issued
8- Issue NTP
9- Start Study
10-Complete Study
11- Closeout Grant

**FAA's Role:** Generally, the FAA's role is to review and approve the aviation forecast, airport layout plan, provide technical assistance and, as resources allow, participate in public meetings on the planning process. Because this is the sponsor's document, FAA may highly recommend, but cannot require a sponsor to consider any specific development at its airport. This notwithstanding, FAA expects that all proposed development, both on and in the vicinity of the airport, will be planned to meet FAA design standards.

In reviewing the aviation forecast, FAA may question whether the forecast supports the intended development within the planning horizon. FAA must approve the aviation forecast. Any sponsor forecast that deviates from the FAA's Terminal Area Forecast (TAF) in excess of 10% within the first 5 years, or 15% within the 10-year planning timeframe, must be justified by the Sponsor and agreed upon by the FAA.

**ADOT's role:** The ADOT-Aeronautics Division will provide assistance and guidance to the Sponsor for developmental issues; will review MP for conformance with the short and long range goals of the State Aviation System Plan; and will review MP for realistic, reasonable and attainable goals. For State/Local grants, ADOT-Aeronautics will follow the FAA criteria for MPs.

An airport's MP will be a tool used by the Aeronautics Division to determine airport improvement program and Airport Capital Improvement Program priorities and to facilitate rational and timely decision-making for airport system investment.

**Sponsor's role:** The Airport MP and associated ALP is one of the principle guiding documents that helps create a baseline for the future of the airport. These documents will provide systematic guidelines for the airports overall maintenance, development, and operation. Typically, these documents are created with the assistance of a Consultant and ultimately approved by the Sponsor's policy makers. In order to more efficiently expedite this process with the FAA and ADOT, it is highly recommended that the information that the Sponsor submits to the FAA and ADOT is accurate data. The more complete information the Sponsor can provide the more effective the review process.

**Consultant's role:** If retained by the Sponsor to prepare the Airport's MP the Consultant may provide the following services:

1. Assist with the preparation of the detailed Scope of Services and the Contracts.
2. Prepare the MP documents and/or the ALP drawings.
3. Submit the Forecasts to the FAA for review and approval.
4. Conduct Planning Advisory Committee (PAC) Meetings, Public Information Workshops, and Public Hearings.
5. Attend project-related meetings as directed by the Sponsor.
6. Assist the Sponsor in determining if an ALP requires a "full approval" by the FAA, or just "Pen in Ink"<sup>1</sup>.
7. If a new ALP is prepared, or a significant update to the ALP is prepared, ensure that the ALP complies with the current FAA ALP checklist.
8. Coordinate the submittal of both the draft and final ALP to the FAA and ADOT.

The Consultant should make sure that the forecasts developed for an Airport MP are realistic, that the alternatives are thoroughly evaluated, and that future projects are fully justified. The MP and/or the ALP should be developed in the best interest of the Airport and the community it serves.

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<sup>1</sup> See descriptions of "Pen in Ink" and "full approval" in Part VI

## **VI. AIRPORT LAYOUT PLAN REVIEW & APPROVAL PROCESS**

The ALP is an important document that depicts existing and future facilities at the airport. The ALP is an official planning document and is required to be approved by the FAA prior to consideration of federal funding. While FAA will generally require an approved ALP, it is understood that sometimes unforeseen development is required due to a pop-up situation, and the sponsor cannot wait for an ALP Update to be approved by the FAA. In those cases, FAA may make a “pen & ink” change to the ALP to allow development of the subject project(s) provided the following applies:

1. The FAA can categorically exclude the subject development from further environmental review.
2. The subject project is not part of an ongoing environmental review.
3. The subject project receives airspace approval prior to the “pen & ink” change being accepted.
4. The subject development is of sufficient priority to warrant an exception.
5. The subject project is included in a follow-up ALP update.

It should be clearly understood and anticipated that the FAA cannot approve an ALP that contains a project that is undergoing an environmental review until the environmental review is completed.

**FAA’s Role:** Again, the ALP is an official planning document and is required to be approved by the FAA prior to consideration of federal funding. The FAA Planner will review and coordinate ALP submitted by the Sponsor

The ADO may make a “pen-in-ink” change to the approved ALP if construction is minor (e.g., a new T-hangar), after coordination and approval of the 7460. In this case, the “pen-in-ink” change would show the new construction and note the NRA case number and date approved. Again if construction is minor, changing proposed development to existing development may be treated as a “pen-in-ink” change to the ALP.

If there are numerous “pen-in-ink” changes or if FAA does not consider construction minor, then a new ALP drawing and “full approval” by the sponsor and FAA will be needed.

The FAA may also “revalidate” an ALP if no major construction or newly proposed development needs to be shown.

All ALPs are to be submitted to FAA by the airport sponsor (transmittal under its letterhead). This provides FAA with assurance of the airport sponsor’s acceptance of the draft document and

understanding of any proposed development at this key decision point in the process.

To expedite the review process, the Sponsor can directly submit the draft ALP and completed ALP checklist to both the FAA and ADOT concurrently. ADOT will provide its comments directly to the FAA as expeditiously as possible to prevent holding up the process.

If FAA finds the draft ALP to be satisfactory, then FAA internal coordination with other FAA Lines of Business will be initiated.

If FAA finds that substantial revisions, changes, corrections, or additional information are required, FAA will submit one set of comments to the Sponsor (with a copy to the Consultant) for reconciliation. Official response back to the Sponsor for all comments will come directly from the FAA. After the Sponsor/Consultant makes the appropriate changes, the sponsor may resubmit the draft to the FAA for coordination with the other FAA lines of business (LOB).

Because the FAA LOB may make further changes, Sponsors are **not required** to include a signature on draft. Sponsor signatures will only be required on its final submission after all FAA & ADOT comments have been accounted for. This submission is the one that the FAA will ultimately approve.

**ADOT's role:** The ADOT-Aeronautics Division will endeavor to facilitate the State's airports and the FAA with the development of an accurate ALP for each of Arizona's public airports.

**Sponsor's role:** The Sponsor's role is to help coordinate with all parties to submit an ALP for review and approval to the FAA. Typically the ALP is created and maintained by the Consultant, and it is recommended to carefully review the ALP prior to submission to the FAA. An ALP can be very detailed and cumbersome so extra attention to the details is critical. This document is critical for potential funding from the FAA and ADOT for future capital improvements at the Airport.

All draft ALPs submitted for review and approval by FAA are to be formally transmitted by the sponsors (under letterhead transmittal) along with the completed ALP checklist. Sponsor signatures will only be required on its final submission after all FAA & ADOT comments have been accounted for. This submission is the one that the FAA will ultimately approve.

**Consultant's role:** If retained by the Sponsor to prepare updated ALP not associated with an Airport MP project, the Consultant may provide the following services:

1. Assist with the preparation of the detailed Scope of Services and the Contracts.
2. Attend project-related meetings as directed by the Sponsor.
3. Assist the Sponsor in determining if an ALP requires a "full approval" by the FAA, or just "Pen in Ink".
4. If a new ALP is prepared, or a significant update to the ALP is prepared, ensure that the ALP complies with the current FAA ALP checklist.

5. Coordinate the submittal of both the draft and final ALP to the FAA and ADOT.

The Consultant should make sure that the forecasts developed for an ALP are realistic, that the alternatives are thoroughly evaluated, and that future projects are fully justified. The MP and/or the ALP should be developed in the best interest of the Airport and the community it serves.

## **VII. ENVIRONMENTAL OVERVIEW PROCESS**

The National Environmental Policy Act of 1969 (NEPA) requires each Federal agency to disclose to the interested public a clear, accurate description of potential environmental impacts that proposed major Federal actions and reasonable alternatives to those actions would cause. Through NEPA, Congress directed Federal agencies to integrate environmental factors in their planning and decision-making processes. This provides the public with a fair, open opportunity to review and comment on those alternatives and impacts and other important environmental matters related to a proposed Federal action. In approving the Federal actions necessary to support an airport development proposal, the approving FAA official must consider environmental effects as fully and as fairly as it does technical, economic, and other non-environmental considerations.

FAA Order 1050.1E presents FAA's agency-wide instructions to complete the NEPA process. FAA Order 5050.4B supplements those instructions for airport projects. Paragraphs 9.g(1) – (11) of this Order lists those airport activities that are Federal actions. Airport operators and consultants should familiarize themselves with these Orders.

Early in a project's planning phase, the Sponsor and its Consultants should meet with the appropriate FAA Airport District Office planners and environmental specialists. This early coordination allows FAA staff to view the initial, conceptual plan and highlight potential environmental issues airport planners need to consider. Information exchanged among the Sponsor, Consultants, and environmental specialists fosters effective, efficient airport planning. It also promotes completing the subsequent NEPA process in a timely, efficient manner.

For **Cat Ex Evaluation Criteria**, see **Appendix 1**.

**FAA's Role:** The FAA, through the Los Angeles Airport District Office, is responsible for the analysis of Federal airport actions that could potentially cause environmental impacts. To fulfill the terms of the President's Council on Environmental Quality's (CEQ) NEPA regulations, the FAA may: categorically exclude the action "CatEx"; require the Sponsor to prepare an environmental assessment (EA) under FAA oversight; or prepare an environmental impact statement (EIS).

**ADOT's role:** The ADOT-Aeronautics Division will provide assistance and guidance to the Sponsor for the environmental review process and will review airport environmental documents for conformance with the appropriate regulations. For State/Local grants, ADOT-Aeronautics will follow the FAA criteria for compliance with environmental regulations.

**Sponsor's role:** Sponsors, not FAA, own and operate public-use airports in the United States and its territories. As a result, Sponsors are responsible for deciding when and where airport development is needed and for building and operating airport facilities. Sponsors must request FAA approval for certain development and/or may request federal funding for airport projects.

Before FAA decides whether to approve these actions, it must comply with NEPA and other applicable special purpose laws. As an applicant for Federal approval, a Sponsor should take on some or all the following responsibilities:

1. In consultation with FAA planners and environmental specialists, consider known environmental factors in early planning efforts for proposed airport development projects.
2. Provide environmental information to its Consultant or to FAA. FAA will request specific information from the Sponsor to assist it in determining the potential for any extraordinary circumstances that may mandate the development of an EA or EIS. The FAA's Extraordinary Circumstances format is provided as Appendix 2.
3. Prepare EAs or hire qualified environmental contractors to prepare those documents.
4. Provide opportunities for public participation, and a public hearing, if one is appropriate.
5. Consult with FAA personnel, and as needed, coordinate with federal, state, and local agencies, Federally-recognized Tribes, and the affected communities.
6. Join FAA in a Memorandum of Understanding to pay the contractor FAA selects to help it prepare the EIS for a proposed action, when required.

**Consultant's role:** The Sponsor may retain a Consultant to prepare an Environmental Assessment for a project, or to assemble the documentation required for the FAA to issue a Categorical Exemption finding on a specific project. The consultant should be thoroughly familiar with the required environmental process and have a detailed understanding of the applicable FAA Orders and Advisory Circulars. During the development of either an EA or documentation for a "Cat-Ex", the Consultant should ensure that the Sponsor is aware of, and involved in, any and all communication between the Consultant and those affected federal, state, and local agencies. The Consultant may also assist the Sponsor with conducting Public Hearings and responding to comments provided by the public and/or public agencies.

## **VIII. FAA & ADOT FUNDING PROCESS**

### **A. FAA Airport Improvement Program (AIP) FUNDING**

The FAA Fiscal Year (FY) starts on October 1 and ends on September 30. Congress approves the FAA appropriation funding level for each FY. Afterwards, the Office of Management and Budget (OMB) issues the FAA its funding allotments and FAA Headquarters (HQ) works through a formula that considers set asides, such as entitlement funds for “entitled” state/sponsors and discretionary funding for noise projects, and distributes each region its allotments based on information submitted with the region’s Airport Capital Improvement Plan (ACIP). An airport must be identified within the National Plan of Integrated Airport System (NPIAS) to receive consideration for AIP funding.

#### **AIP funding falls into the following areas:**

1. **Passenger entitlement funds** are available for commercial service airports that meet a minimum of more than 10,000 enplaned passengers per year. The amount given to an airport is determined by formula based on AIP Appropriation by Congress and the number of enplaned passengers at that commercial service airport.
2. **Cargo entitlement funds** are available for airports served by aircraft providing air transportation of only cargo with total landed weight of more than 100 million pounds per year. The amount given to an airport is determined by formula based on AIP Appropriation by Congress and the amount of cargo flown out of that that commercial service airport.
3. **Non-primary entitlement funds** are available for general aviation airports. The amount given to an airport is based on the amount of development that airport has identified within the NPIAS. The maximum amount an airport can get is \$150,000.
4. **State Apportionment funds** are available to any general aviation airports within a state and included within the NPIAS. The amount made available for funding within a particular state is determined by a formula based on AIP Appropriation by Congress and things such as state population, number of NPIAS airports, etc.
5. **Discretionary funds** are available to any airport identified within the NPIAS. These funds are provided at the discretion of the FAA. To receive these funds, FAA relies on how a sponsor’s project stands in relation to the FAA’s priority system (see FAA Order 5100.39A, Airport Capital Improvement Program (ACIP). Copy available via FAA website: [www.faa.gov/airports](http://www.faa.gov/airports).)

Sponsors receiving passenger entitlement or non-primary funds should plan projects to begin early in the year. Early design will enable the bid process to take place early, provide sufficient time to meet local requirements and allow FAA to issue grant offers based on bids. Public bid contracts are generally issued with a "bid guarantee" clause. This requires the contractor to guarantee the bid price for a designated number of days. The Sponsor must award the bid within the bid guarantee timeframe, or the bids will be expire and the project will require re-bidding. This is especially important when additional funding based on a bid is being considered by FAA and/or ADOT.

The FAA and ADOT will also allow for alternative contracting methods such as Design/Build and CM at Risk to issue grants.

Through the course of the year, Sponsors are encouraged to check funding availability for proposed projects with their FAA Program Manager, and consider phasing projects to meet available funding. It is important that engineering and planning cost estimates be current and reasonable. If bids exceed the engineer's estimate or an independent fee estimate for planning projects by more than 10%, it could delay awarding bids.

FAA supports funding high-priority projects when additional funds become available, provided that the project ready to be awarded is based on bids and the cost is considered reasonable and acceptable (i.e., does not exceed engineering estimate by more than 10%.)

### **Cost Overruns, Recoveries, & Grant Amendments**

FAA cannot provide AIP funding for overrun amendments for planning and/or environmental grants. The scope of work (SOW) will identify the final products expected once a grant is issued. Once the SOW is agreed upon, the Sponsor/Consultant is expected to stay within those numbers and deliverables.

FAA can allow for up to a 15% maximum increase to construction grants for all allowable and eligible costs (additional costs due to higher cost of material, unforeseeable circumstances, etc.). It is important to point out that this additional percentage **is not** an entitlement to the Sponsor and that these costs are evaluated and allowed only if funds are available. As a matter of policy, changes to grant funding are made at the end of the project (physical completion of work) with proper justification and supporting documentation. Only work included in the grant description is considered eligible for such changes. All change orders require prior FAA approval before proceeding with proposed work. Except in extenuating circumstances, FAA will expect airports with entitlement funds to use those funds to cover approved overruns rather than discretionary funds.

### **Existing grant funds:**

Funds recovered at grant closeout are used to fund amendments. Therefore, sufficient funds are not always available, especially early in the FY. Sponsors should check with their FAA Program Manager regarding eligibility and availability of funds for processing amendments. Amended grants are not exempt from the requirement to be closed within four years from the year the grant was originally issued.

There are other restrictions related to amending grants. As a matter of policy, FAA generally does not support adding scope to an existing grant strictly to utilize surplus funds. Because the demand for Federal funding far outweighs available resources, FAA often uses excess funds from closed grants to finance overruns throughout the Region. For more information, Sponsors should consult their FAA Program Manager.

## **Payments**

FAA encourages sponsors to fund projects under a Letter of Credit (LOC), which allows the sponsor to electronically withdraw funds. This is desired for both planning and construction projects. For Sponsors on LOC, FAA will still require documentation that justifies the amount of withdrawal. If upon review of sponsor justification documentation, the FAA determines that ineligible work was paid for, the FAA will require the Sponsor to return the appropriate amount of funds through a credit.

For **grants funding process**, see **Appendix 2**.

**FAA's Role:** There are many variables to consider when talking about AIP funding. These variables include eligibility requirements depending upon the type of funds, differences in the active life of each fund type, availability and usage of each fund type, etc. The FAA Program Manager (or FAA Planner on planning grants) will work with sponsors to help them understand the restrictions, characteristics, and limitations of each type of funds. The Program Manager will also assist Sponsors/Consultants with strategies on meeting construction grants based on bids and project closeout expectations.

## **B. ADOT AERONAUTICS FUNDING**

**ADOT'S role:** Arizona's State Transportation Board has the statutory authority to obligate funds from the State Aviation Fund for the purpose of developing airports. Four programs exist for direct airport development needs: The Airport Development Grant Program, the Airport Loan Program, the Airport Preventative Maintenance Program, and the Small Community Air Service Pilot Program. Each program is allocated a maximum funding authority based upon the needs developed in the 5-year Program. The Grant Program is further separated into three sub groups for initial resource allocation. Those sub groups and their respective allocations are: Commercial Service and Reliever Airports, 80%; other Primary Airports, 18%; and, Secondary Airports, 2%. The fund will provide State matching grants of the non-Federal share in the Federal/State/Local grant program. The State also provides State/Local grants in the amount of 90% state share and 10% local share (except for land acquisition projects) for primary airport sponsors, and a 95% state share for secondary airport sponsors.

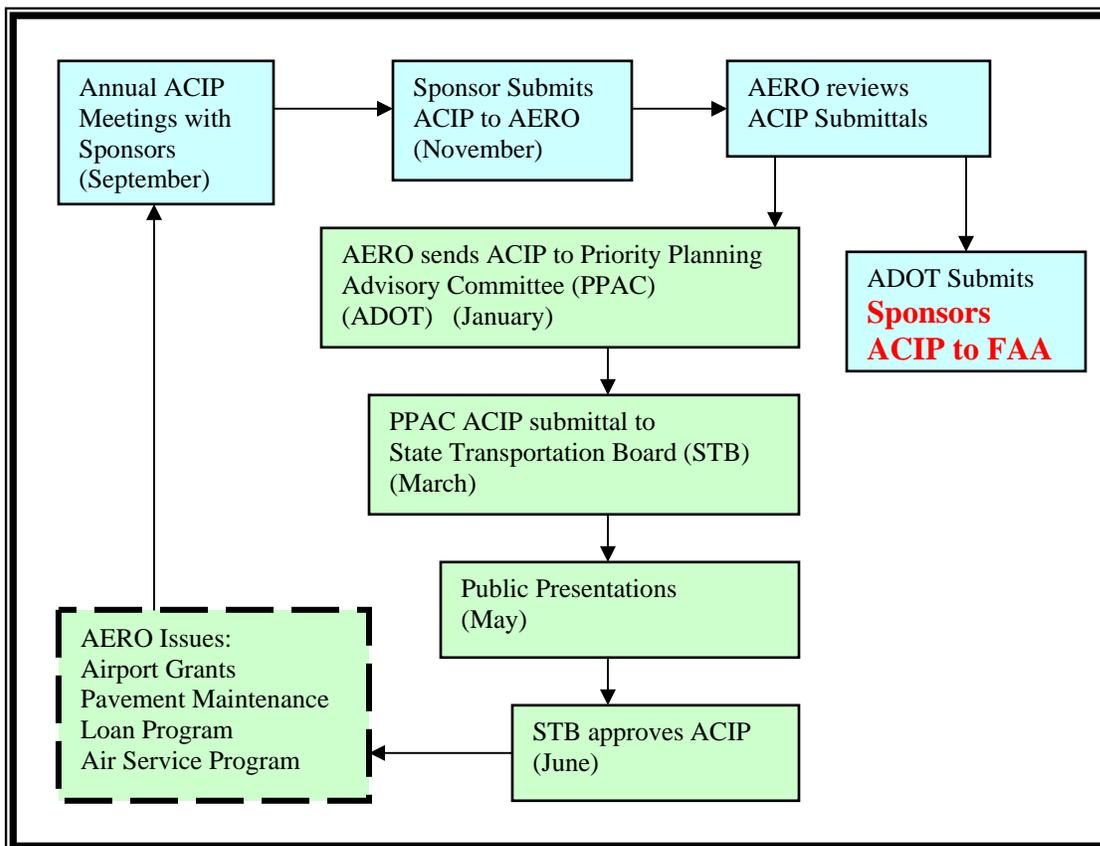


Figure 2

The Arizona Transportation Board's Aviation Policies give details on these and other programs for aviation. This policy book is available on the ADOT website at <http://www.azdot.gov/aviation/index.asp>.

**Sponsor's role:** The primary goal for all Sponsors is to maximize funding dollars provided by the FAA and ADOT as effectively as possible in building new and maintaining existing improvements at the Airport. Funding may not always be available, so prioritizing the ACIP is an important factor. The policymakers are an important element when the Sponsor accepts federal or state funding for improvements, as priorities may change over time due to political reasons.

**Consultant's role:** If requested by the Sponsor, the Consultant may be responsible for providing advice and guidance regarding FAA and ADOT grant funding, or the Consultant may be requested to assist the Sponsor with the preparation of grant-related documents for the Sponsor's review, approval, and submittal to FAA and ADOT. The Consultant may assist the Sponsor with the preparation of grant applications, request for reimbursement forms, certifications, and all other paperwork required for securing, executing, and closing grants in an efficient and timely fashion. Grant funds should be utilized responsibly and in accordance with the scope of work outlined in the grant documents and the applicable grant assurances. The

design and planning of projects should maximize the value of grant funding which has been made available for the project.

### **C. FAA PASSENGER FACILITY CHARGE (PFC) RESOURCE & PROCESS**

The Passenger Facility Charge (PFC) Program, authorized under FAR Part 158, allows the collection of PFC fees up to \$4.50 for every enplaned passenger at commercial airports controlled by public agencies. These fees are used to fund FAA-approved projects that enhance safety, security, or capacity; reduce noise; or increase air carrier competition.

#### **1. LARGE AND MEDIUM-HUB PRIMARY AIRPORTS**

Following are the steps for applying and processing PFC requests:

- a. Public agency develops list of projects to be paid for with PFCs.
- b. Airport Notifies Air Carriers of Consultation Meeting.
- c. Consultation Meeting - **must be held 30-45 days** after date of notification.
- d. Carrier Certification of Agreement/Disagreement - **no later than 30 days** after consultation meeting.
- e. FAA Reviews Draft Application (suggested).
- f. FAA Receives Application.
- g. FAA Determines if Application is Substantially Complete - **within 30 days of receipt.**
- h. Airport Notification of Supplement to FAA - **made within 15 days of completeness** finding.
- i. FAA Review Period - ends 120 days from date of receipt of application.
- j. Public Agency publishes a notice and opportunity for public comment on the Airport web site or local newspaper and media, for the public to submit comments within 30 days.
- k. FAA files Notice for Publication in *Federal Register*, if there is controversy.
- l. **Public Comment period ends 30-days** after notice is published.
- m. FAA Regional Office prepares Record of Decision, if no controversy.
- n. FAA Washington Headquarters prepares a Record of Decision, if there is controversy.
- o. Application approved/disapproved by Associate Administrator for Airports (if there is controversy) or Regional Airports Division Manager (if no controversy) **on or before end of 120-day period.**
- p. Airport notifies air carriers of approval and informs them to begin collection.

- q. Collection begins on the 1st day of the month, **at least 60 days** from carrier notification to begin collection.
- r. Air carriers remit PFCs to the airport monthly.
- s. Quarterly report on PFC collections filed by airport with FAA.

## 2. NON-HUB PRIMARY & COMMERCIAL SERVICE AIRPORTS

The recent FAA streamlining of the PFC application process provided a new non-hub pilot program for commercial service and non-hub primary airports. The steps in the process are as follows:

- a. The public agency prepares a “Notice of Intent” to collect PFC.
- b. Air carriers consultation and public notice process is conducted as described above.
- c. A Notice of Intent is submitted to the FAA after the public notice period and the carrier notice/consultation period has ended. The Notice of Intent should be accompanied with a completed and signed PFC application and FAA Form 5500.1.
- d. The FAA will issue a letter acknowledging the public agency’s notice of intent within 30 days of receipt.
- e. The public agency is permitted to collect a PFC for any projects that the FAA does not object to in the acknowledgment letter.

**PFC RESTRICTIONS:** While the PFC program is complementary to AIP, there are limitations and restrictions. Most notably, medium and large-hub airports that impose a PFC face a reduction in their AIP entitlement funds. The reduction varies depending upon the PFC level.

## **IX. BID PROCESS**

It is the responsibility of the Sponsor to ensure that projects are completed, bid and awarded in accordance with federal, state, and local procurement requirements. Each agency has its own approval and/or certification process. Sponsors should examine these requirements and modify their own procurement regulations, as appropriate, to eliminate any conflicting language. When federal or state funds are being utilized, approval should be requested and granted from both agencies, as appropriate, prior to releasing the project for bid. Following the receipt of bids, the Sponsor shall review them and recommend award to the lowest responsive and responsible bidder. Once again, the Sponsor should seek approval from the FAA and ADOT prior to a formal award of the construction contract. In some instances, with the prior approval of the FAA and ADOT, alternative project delivery methods may be utilized instead of the process outlined above.

**FAA Role:** One of the FAA's goals is to issue grants based on bids or use alternative delivery methods such as Design/Build or CM at Risk based on the Guaranteed Maximum Price – (GMP). This process involves many players and requires continuous communication between the Sponsor/Consultant/ADOT and FAA program managers. Coordinating the Sponsor's internal process for designing, bidding, and/or accepting grants, and with the FAA's and state's funding process (i.e., the timing for submitting project applications, programming process, completing internal Federal coordination, issuing tentative allocation letters, bidding process, tabulating bids, recommending award of contract, issuing grant offers, and accepting grants) requires advance planning.

FAA encourages Sponsors/Consultants to start the process early in the fiscal year by contacting their program manager to determine which projects in their ACIP are being considered for funding.

Any issues related to the FAA process should be worked through the FAA program manager. This will help to establish a schedule for the project that provides sufficient time to meet federal, state, and local requirements.

**ADOT's role:** ADOT-Aeronautics Division's interest in the Sponsor's bid process is two-fold. The Sponsor should be able to certify to the Aeronautics Division that it has satisfied all FAA criteria for those projects funded with federal, state and local monies. For projects funded with only state and local monies, the Sponsor should be able to certify to the Aeronautics Division that it has followed the procurement code adopted by the Sponsor's jurisdiction and that such code is not contrary to any applicable rules or regulations of the State of Arizona.

**Sponsor's role:** The Sponsor should focus on not only complying with the FAA and ADOT requirements for a bid, but also comply with any procurement procedures that are required for the entity the Sponsor belongs to. Timing of the bid is a key factor to manage in order to meet the deadlines needed for acceptance of grant funding and approval by the policymakers. The "based on bids" goal for the FAA can be met 99% of the time if the Sponsor efficiently

coordinates this process well in advance of the bid process with the assistance of the FAA, ADOT, and the Consultant in the planning stage of the particular project. The FAA and ADOT are flexible with the “based on bids” approach as long as there is justification and early coordination with the project managers.

**Consultant’s role:** The Consultant shall coordinate with the Sponsor, FAA, and ADOT to ensure that adequate funding is in place prior to bidding. This coordination should include a review of the timing and availability of grant funds to assist the FAA in meeting their goal of awarding grants based on bids. The bid documents should be accurate, clear, and concise and they shall be prepared in accordance with federal, state, and local requirements. The plans and specifications shall include the appropriate FAA specifications contained in the Advisory Circulars. The plans, specifications, and the required FAA certifications should be submitted to the appropriate FAA project manager prior to bidding. The Consultant should conduct a pre-bid meeting to introduce the project to potential bidders and explain the federal, state and local bidding requirements. Upon receipt of bids, the Consultant shall assist the Sponsor in evaluating the bids to ensure that all of the bid requirements are met.

## **X. CONTRACTOR ALLOWANCE**

A “Contractor’s Allowance” is an identified sum of money available to help pay the expense of any unforeseen circumstances. The intent was to help contractors cover additional eligible costs incurred during construction that otherwise require processing amendments, but without the time and efforts needed for issuing amendments.

**FAA Role:** As a matter of policy, FAA does not allow contractor allowances to be included/added to any federally funded project. Only those bid items included in the bid document for work necessary and needed in order to complete the proposed project are considered eligible for funding.

**ADOT’s role:** The ADOT-Aeronautics Division may not be adverse to the use of a “Contractor’s Allowance” in a state/local grant-funded project. However, it must be recognized by the Sponsor and its contractor that such a line item does not represent a set amount of money from which the contractor may regularly withdraw funds. For instance, if the term of a contract in which there is an established “Contractor’s Allowance” is 10 months, neither the Sponsor nor the contractor shall expect to draw 10% of that amount of allowance with each monthly pay request. Nor should the Sponsor and/or contractor expect that the contractor will automatically be paid a certain amount or percentage of the allowance sum any time during or at the end of the contract. If the Sponsor intends to implement a “Contractor’s Allowance” in any contract, it would be well advised to inform the Aeronautics Division of that intention and to reach an understanding with the Division for when and under what conditions any amount of the Allowance will be paid to the contractor.

**Sponsor’s role:** The Sponsor must remember that contractor allowance is not a contingency fund that will allow funding of additional items that were not in the scope of the original project, without approval of the FAA and/or ADOT, but in essence an allowance used for unforeseen items, typically unknown underground utilities that must be relocated or removed in order for the project to be completed. The Sponsor should pay careful attention to the use of this item as part of a capital improvement on the Airport.

**Consultant’s role:** The Consultant shall incorporate a realistic contract allowance amount in the contract documents. The bid item shall be clearly defined with concise language describing when it may be utilized. It shall also be specified that the item may not be used at all. The allowance shall only be used for unforeseen items directly related to the project. Verbal or email approval shall be received from the Sponsor, FAA, and ADOT prior to using any of the contract allowance.

## **XI. SPONSOR CONTACT LIST**

Questions were raised previously related to acceptability of documentation being submitted directly by the Sponsor's Consultant to the FAA and or ADOT Aeronautics on behalf of the Sponsor.

Both FAA and ADOT have found that occasionally documentation is submitted by a Consultant for the FAA to act upon, however, when asked, the Sponsor was not aware of the matter. Furthermore, both FAA and ADOT have found occasions where it was difficult to reach the Consultant to confirm his/her acceptance of the subject matter. This could present a problem given the fact that the grant obligations are between the FAA and Sponsor, not the Consultant.

In order to resolve this issue, a list of documents that can be submitted to the FAA and ADOT by the Sponsor's Consultant is entitled **Sponsor Contact List** in attached **Appendix 3**.



## APPENDIX 1

### EXTRAORDINARY CIRCUMSTANCES EVALUATION INFORMATION SUBMITTAL FOR CATEGORICAL EXCLUSION OF AIRPORT PROJECTS

*Cat Ex EC Info. Revised 05/19/2006*

**I. INTRODUCTION:** The FAA must comply with the National Environmental Policy Act (NEPA) for all proposed airport development projects that require a federal action. Categorical Exclusions for various actions are defined in Federal Aviation Administration (FAA) Order 1050.1E, *Environmental Impacts: Policies and Procedures*. The FAA is seeking information from the airport sponsor to be able to determine whether the sponsor's proposed airport development project can be categorically excluded from the NEPA requirement to conduct a formal Environmental Assessment (EA) or Environmental Impact Statement (EIS). Note an action on the categorically excluded list is not automatically exempted from environmental review under NEPA. FAA must determine if any extraordinary circumstances apply to the proposed project. The intent for this information is to informally document the agency's categorical exclusion determination. The need for this information is based upon the guidance in paragraphs 304 and 305 of Order 1050.1E. See: [http://www.faa.gov/regulations\\_policies/orders\\_notices/media/ALL1050-1E.pdf](http://www.faa.gov/regulations_policies/orders_notices/media/ALL1050-1E.pdf).

**II. APPLICABILITY:** Sponsors are not asked to submit information described below for equipment and vehicle purchases (i.e., Aircraft Rescue and Fire Fighting; snow removal equipment; security equipment such as computers, scanners, etc.); Runway/taxiway edge lighting and other electrical items such as regulators, control panels, etc.; Master Plans, Part 150 Studies, feasibility studies, and environmental disclosure documents, etc.

**III. DIRECTIONS:** The airport sponsor is to submit narrative responses to the questions in Section V below and provide supporting documentation to ensure the FAA can determine that no extraordinary circumstances exist. Sponsors are to submit this information only for proposed projects where they anticipate federal funding assistance within the next 12 months, or if no funding is sought, for Airport Layout Plan approval. Please provide this information not later than 12 months prior to implementation of the proposed project to allow FAA to determine if further study is needed. Suggested sources for this information include, but are not limited to, previous Master Plan or environmental studies and associated documents, Part 150 studies, or research. The jurisdictional federal, state and local resource agencies responsible for protecting specially-protected resources often contain internet web site information that will be of assistance. This information will also assist sponsors in complying with applicable federal laws, regulations, and executive orders as they relate to the proposed project. To expedite review, Sponsors should include the headings listed in Section V, below, in **bold** in your narrative responses and address each heading separately.

**IV. ASSISTANCE:** The Environmental Protection Specialists in the respective Airports District Offices are available to provide guidance and answer questions about the submittal of information to support a Categorical Exclusion and/or environmental resource categories. Airport Sponsors may expect a written response on the adequacy of the information from the

ADO between 30 to 90 days of FAA's receipt, depending upon the workload of the ADO at the time of receipt.

## **V. PROJECT INFORMATION AND EXTRAORDINARY CIRCUMSTANCE INFORMATION SUBMITTAL:**

### **A. Airport/Sponsor/Address/Contact Information.**

### **B. Proposed Project Description/Purpose & Need for Project.**

**C. Identify the appropriate category for the proposed project:** (1) Approval of a project on an airport layout plan (ALP); (2) Approval of federal funding for airport development; (3) Requests for conveyance of government land; (4) Approval of release of airport land; (5) Approval of the use of passenger facility charges (PFC); (6) Approval of development or construction on a federally obligated airport.

**D. Identify the applicable Categorical Exclusion:** The proposed project must be specifically identified in Order 1050.1E paragraphs 307 through 312 "Categorical Exclusions" and cannot involve any conditions identified in paragraph 501 (projects normally requiring an EIS); paragraph 401 (projects normally requiring an EA). If the proposal involves extraordinary circumstances, identified in Paragraph 304, explain.

**E. Review of Extraordinary Circumstances (FAA Order 1050.1E paragraph 304):** Include a description of the project site as it relates to each of the following resource categories:

**1. AIR QUALITY – Paragraph 304g.** Is the proposed project in an air quality attainment, nonattainment or maintenance area for a specific criteria pollutant? Would the project worsen the air quality? See the EPA Green Book at [www.epa.gov/oar/oaqps/greenbk](http://www.epa.gov/oar/oaqps/greenbk) for current nonattainment areas for each criteria pollutant.

**2. COASTAL RESOURCES – Paragraph 304c (For Airports in California, Hawaii and Pacific Islands only).** Arizona airport sponsors should simply indicate that this impact category is not applicable.

**3. DEPARTMENT OF TRANSPORTATION SECTION 4(f) – Paragraph 304b.** Would the proposed project directly or indirectly use any land from a public park, recreation area, or wildlife or waterfowl refuge of national, state, or local significance, or land of an historic site of national, state, or local significance? If "yes," describe the proximity of park to project site and explain how much of the park would be affected and why the land is needed.

**4. NATURAL RESOURCES AND ENERGY SUPPLY – Paragraph 304c.** Would the proposed project affect energy or other natural resource consumption

where demand exceeds the capacity of the supplier? Explain how the sponsor intends to resolve natural resource consumption issues where demand exceeds capacity of the supplier. If the sponsor states demand does not exceed the supply, briefly indicate how this was determined.

**5. FARMLANDS – Paragraph 304c.** Would the proposed project convert any farmland to non-agricultural uses? If yes, identify the current approved zoning classification for the project area.

**6. FISH, WILDLIFE, AND PLANTS – Paragraph 304c.** Does the proposed project area contain any federally listed endangered or threatened species of flora and fauna, or designated critical habitat? Describe the site and specific species or habitat designation, if any, and results of any consultation with the U.S. Fish and Wildlife Service or National Marine Fisheries Service, if available.

**7. FLOODPLAINS – Paragraph 304c.** Would the proposed project be located in, or would it encroach upon, any designated 100-year floodplains? Floodplain maps can be viewed at <http://www.hazardmaps.gov/atlas.php>.

**8. HAZARDOUS MATERIALS, POLLUTION PREVENTION, AND SOLID WASTE -- Paragraph 304k.** Would the proposed project require the use of land that may contain hazardous substances or may be contaminated? Identify any documented hazardous materials issues on the project site. (Agencies such as the U.S. Environmental Protection Agency and/or the applicable state environmental agency have publicly available information on their websites that may be of assistance.)

**9. HISTORIC, ARCHITECTURAL, ARCHEOLOGICAL, AND CULTURAL RESOURCES – Paragraph 304a and 304j.** Does the proposed project affect any documented properties that are prehistoric, historic, archeological, or cultural resources? Provide copy of any prior consultation with the State Historic Preservation Officer (SHPO) and/or Tribal Historic Preservation Officer (THPO) for the proposed project area. If project is in a previously undeveloped site, provide cultural resources survey.

**10. NOISE – Paragraph 304f.** Would the proposed project increase airport noise over noise-sensitive land uses (e.g., residences, schools, churches, and hospitals)? See Table 1 of 14 CFR Part 150 for descriptions of various noise-sensitive land uses.

**11. SECONDARY (INDUCED) IMPACTS – Paragraphs 304d & e.** Does the proposed project require relocation of any homes or businesses, or increase off-airport surface traffic congestion? Describe the number of relocations needed for the proposed project.

**12. WATER QUALITY – Paragraph 304h.** Would the proposed project degrade water quality, including ground water, surface water bodies, or any public water supply systems? Does the sponsor have an airport-wide Storm Water Pollution Prevention Plan (SWPPP), project specific SWPPP? If yes, give date of Plan.

**13. WETLANDS - Paragraph 304c.** Would the proposed project be built in or near any previously identified jurisdictional wetlands? Briefly indicate how this was determined. If yes, provide any documentation to indicate that the U.S. Army Corps of Engineers has determined if the wetlands are jurisdictional or not.

**14. WILD AND SCENIC RIVERS – Paragraph 304c. (AZ, CA & NV only)** Would the proposed project be built near or affect a designated Wild and Scenic River? If yes, identify the wild and scenic river segment and distance to the proposed project. See <http://www.nps.gov/rivers/wildriverslist.html> for additional information.

**15. OTHER CONSIDERATIONS – Paragraphs 304d, 304i, 304j, and 304k.** Is the proposed project likely to be highly controversial on environmental grounds? Is there organized opposition to the project on environmental grounds? Is the proposed project reasonably consistent with plans, goals, and policies adopted by the community in which the project is located? Is the project likely to directly, indirectly, or cumulatively create a significant impact on the human environment?



## **APPENDIX 2**

### **GRANT FUNDING PROCESS:**

1. Start with the selection of consultant as early as possible (Planning or Engineering service). Follow FAA AC 150/5370-14D requirements. Same applies for land acquisition related to selection of appraiser/review appraiser and environmental consultant (for preparing an EA document).
2. Have your General Service Agreement reviewed and approved by FAA (ADOT, as needed).
3. Prepare your application including work identified in your current ACIP that meets your priority. Submit application to your FAA PM/Planner/Environmental Protection Specialist (EPS) with all required documentations. FAA will start programming eligible projects and submit through regular channels to obtain OST clearance. FAA will issue Tentative Allocation (TA) letter after receiving OST clearance.
4. Ensure that all your DBE and environmental requirements are met.
5. Submit your engineering/planning/environmental/appraisal service contract for the specific project considered for funding in current FY to your PM. Obtain FAA approval for awarding contract.
6. Start your design/scope of work (for planning projects), etc. as early as possible.
7. Consultant must follow FAA standards (planning or engineering projects), and schedule pre-design/scope of work meeting, as necessary, with the PM/Planner/EPS.
8. Consult with and address any issues with your PM/Planner/EPS, as deemed necessary during the work process, to ensure work is progressing as expected. For construction projects, consult with your PM to ensure that funds are available for bidding the whole job or if consideration should be given to phase-out the project or multi-year the funding.
9. Provide final plans and specification, chapters of master plans, environmental or noise documents to your assigned FAA representative for review. All necessary documentations must be submitted at the same time.
10. In case of construction project, obtain FAA approval to bid the project and follow all federal/state and local requirements. Keep in mind FAA goals related to Based on Bids (BOB) and time constraints for issuing grants.
11. In case of construction project, open bids and submit tabulations with your recommendation for awarding contact to the FAA. Obtain FAA concurrence for awarding contracts.
12. Submit your final application (revision to the first page and the cost estimate page to reflect BOB information) to the FAA. Include all new necessary certifications, assurances, etc.
13. FAA will issue Grant Offer (GO) to sponsor (in case of planning and environmental - letter immediately after receiving OST clearance, and for construction project - after awarding bids and obtaining OST clearances).
14. Grant Offers must be signed and dated by both the official representative of the sponsor and their attorney. Return executed GO to FAA within the established deadlines indicated in the GO and cover letter.

15. At this point in the FAA process, a copy of the executed grant and a cover letter can be sent to ADOT Aeronautics requesting a State Match grant for half of the remaining local share to the federal grant.
16. Obtain FAA approval for all proposed change orders/amendments. Work included in change orders/amendments must not start prior to obtaining FAA approval. Amendments for grant increase will not exceed 15% of the original grant amount, and will be processed at time of closeout only. Any change to grant description (deletion of work) will be accompanied with prorated reduction in grant amount.
17. Keep FAA informed of work progress by submitting payments in a timely manner with all supporting information and documentation.

**Be aware that grants will be closed within four (4) years from the grant issuance year for all grants issued through FY07 based on current legislation.**



## APPENDIX 3

### SPONSOR CONTACT LIST

ACCEPTABLE SPONSOR/CONSULTANT LIST OF SUBMITTALS/ACTIONS				
SUBJECT	ITEM	TO BE SUBMITTED BY SPONSOR	CAN BE SUBMITTED BY CONSULTANT	REMARKS
<b>THIS APPLIES TO CONSULTANTS APPOINTED BY THE SPONSOR AS THEIR REP</b>				
<b>ACIP FORMS</b>		Y	Y/Forms must be signed by sponsor	Consultant could help with preparation
<b>AIP CONSTRUCTION/PLANNING/LAND PROJECTS</b>				
<b>CONSTRUCTION</b>	General Service Agreement (GSA) & Consultant Contract	Y		
	Application/Certification	Y		Can be prepared by consultant
	Cost Estimates	Y	Y	
	Letter of Intent (LOI)/Multi-Year (MY) FUNDING	Y		
	Notice To Proceed (NTP)(DESIGN)	Y		
	Plans & Specifications (P&S) and Certifications	Y	Y (P&S only)	Certifications must be signed by sponsor
	Bids Tabulation	Y	Y	
	Disadvantaged Business Enterprises (DBE)	Y		Can be prepared by consultant
	Bids Award	Y		Request can be prepared by consultant
	Revised Application	Y		Can be prepared by consultant
	Using Letter of Credit (LOC)	Y		
	Grant Offer Execution	Y		
	Inspection/Work Progress Reports	Y	Y	
	Payments	Y		Can be prepared by consultant
	Change Orders	Y		Can be prepared by consultant
	Amendments	Y		Can be prepared by consultant
	Project Close Out	Y		Can be prepared by consultant
	AUDIT	Y		
<b>PLANNING</b>				
	GSA & Consultant Contract	Y		
	Application/Certifications	Y		Can be prepared by consultant

	Cost Estimates	Y	Y	Can be prepared by consultant
	Master Plan (MP) Report	Y	Y	
	Scope of Work	Y	Y	Can be prepared by consultant
	Airport Layout Plan (ALP)	Y	Y	Can be prepared by consultant
	Benefit/Cost (B/C) Analysis	Y	Y	Can be prepared by consultant
	Capacity	Y	Y	Can be prepared by consultant
	Pavement Maintenance	Y	Y	Can be prepared by consultant
	System Planning	Y	Y	Can be prepared by consultant
<b>LAND</b>	Land Acquisition	Y		Could involve consultant/ appraisers, etc.
	Land Release Requests	Y		Could involve consultant/ appraisers, etc.
	Land Donation	Y		Could involve consultant/ appraisers, etc.
<b>PFC</b>	Application	Y		Can be prepared by consultant
	Amendments	Y		Can be prepared by consultant
<b>ENVIRONMENTAL</b>	Noise	Y		Applications/Grant-related documents by sponsor
	Categorical Exclusions (CAT EX)	Y		Consultant could prepare documents that support FAA issuing CAT Ex determination.
	Environmental Assessment (EA)	Y		Applications/Grant-related documents by sponsor or his consultant
	Environmental Impact Statement (EIS)	Y	Y	Applications/Grant-related documents by sponsor or his consultant (see note 5)
<b>AIRSPACE</b>	NRA	Y	Y	Or any proponent
	OE			Air Traffic Division issue.
<b>MISC.</b>	Compliance/Agreements	Y		FBO, OTHERS
	Modification Of Standards (MOF)	Y		Can be prepared by consultant
	Part 139 Issues	Y		Can be prepared by consultant
	Runway Safety Area (RSA)/Runway Safety Action Team (RSAT) Reports & Determinations	Y	Site visit-inspection	FAA

<b>NOTES</b>
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**Following notes apply to all subjects listed above (construction, planning, land, etc.)**

- 1** Yes under the sponsor and/or Consultant column indicates that material can be submitted to the FAA for review by either the sponsor or the sponsor's consultant.
- 2** For all material submitted by the consultant directly to the FAA, the final product must be signed/approved/concurred on by the sponsor before FAA final acceptance or approval.
- 3** Consultant must be officially appointed by sponsor as their representative.
- 4** Although some documents (as listed above) can be submitted by consultants directly to the FAA, any issues related to such projects must be discussed directly by the Sponsor with the FAA and not by the consultant on behalf of the sponsor.
- 5** The EIS is an FAA document. FAA consultant will prepare the document for the FAA. Sponsor (or their consultant) is expected to provide information such as application Grant document (s) etc. to the FAA as needed.