



Checklist for Typical AIP Development Projects

General Limitations

This checklist provides a basic outline of steps necessary for a typical development project. It addresses the initial planning stage through project completion. As each project may present unique situations, users should not construe this checklist as being inclusive of all steps required for proper administration of an AIP funded project. Likewise, certain steps may not be necessarily for all types of project.

The indicated project timelines are general recommendations. The complexity associated with each project will affect the actual required timeframe. It may be possible to accomplish simple straightforward projects within a single grant year. Projects of moderate or higher complexity will likely require a design only grant in year one and then followed by a construction phase grant in the subsequent fiscal year. Large complex projects may require multiple grants over several fiscal years.

Pre-Requisite for AIP Participation

In order to be eligible to receive funds under the Airport Improvement Program (AIP), the airport must be listed in current National Plan of Integrated Airport Systems (NPIAS).

PLANNING PHASE

- ___ a. Preliminary Planning Coordination (4-5 years prior to construction phase)**
 - Prior to commencing any activity, initiate coordination with the appropriate FAA Airport planner
 - Review the current ALP, Master Plan and Exhibit A Property Map
 - Coordinate airport needs with users and tenants
 - Clearly define the scope of the planning initiative.
 - Identify all potential funding sources (AIP, PFC, State, Local and etc)
- ___ b. Secure Planning Consultant (3-4 years prior to construction phase)**
 - Use qualification based selection per AC 150/5100-14 to secure a planning consultant.
 - Due to inherent differences between a planning effort and a project design, we request sponsors separate the selection of a planning consultant from that of a project design consultant.
- ___ c. Scoping Meeting (3-4 years prior to construction phase)**
 - The Sponsor and their planning consultant meet with the FAA to identify pertinent issues and to assess the necessary actions to address each issue.
 - Identify if Benefit Cost Analysis (BCA) is necessary
 - Identify need for land acquisition
 - Identify potential impacts to Instrument Approach Procedures
 - Refine scope of work
 - Develop initial scoping cost estimate
 - Submit to FAA Capital Improvement Project (CIP) data addressing Environmental Assessment (if required)
- ___ d. Initiate Environmental Review. (3 years prior to construction phase)**
 - Initiate NEPA review for a determination of environmental impacts proposed development might have.
 - Prepare an environmental assessment, which identifies all environmental issues and as well conceptual alternatives for a proposed development.
- ___ e. Prepare and submit Master Plan/Airport Layout Plan (2-3 year prior to construction phase)**
 - The master plan establishes guidelines for development at an airport that satisfies aviation demand and addresses issues related to the airport operation and environmental.
 - Note: The FAA only approves components of a Master plan such as Airport Layout Plan, forecasts, and critical design aircraft selection. Approval of a Master plan and associated ALP does not constitute approval of AIP funds for any identified project.
- ___ f. Verify ALP approval (2-3 years prior to construction phase)**
 - To remain eligible, the approved Airport Layout Plan must include th improvement.



PROJECT FORMULATION

- __ a. Define Project Scope (2-3 years prior to construction phase)**
 - Verify that proposed development is shown on approved ALP
 - Confirm AIP participation is justified for proposed development
 - Define limits of AIP eligibility
- __ b. Prepare Preliminary Project Estimate (2-3 years prior to construction phase)**
 - Estimate should identify major work elements such as engineering design, administrative, legal, appraisal costs, construction, inspection, etc. Please omit all contingency costs.
 - Estimate should identify approximate unit quantities of major work items (lighting, paving, Nav aids and etc.
- __ c. Verify Funding Sources (2-3 years prior to construction phase)**
 - AIP, PFC, State, Local etc
- __ d. Benefit Cost Analysis? (2-3 years prior to construction phase)**
 - Required if project requires more than \$10 million in discretionary funds
- __ e. Verify Environmental Clearance (No later than 2 years prior to construction phase)**
 - CATEX, FONSI, EIS?
- __ f. Submit Capital Improvement Plan (CIP) Project Data Sheet (No later than 2 years prior to construction phase)**
 - Submit separate CIP data sheets for each proposed development project.
 - To receive consideration for funding in a specific fiscal year, Sponsors must submit their CIP data by February 15th of the previous year.
 - Attach a current detailed cost estimate with each data sheet.
 - Note: Submittal of a Sponsor CIP data sheet does not guarantee AIP funding of the project.
- __ g. Coordinate with FAA on availability of AIP funding (No later than 2 years prior to construction phase)**
 - FAA will add acceptable projects into the FAA Airports Capital Improvement Program (ACIP).
 - Continue to coordinate with the FAA planner to verify when funding may become available.
- __ h. Airport Property Rights? (2 years prior to construction phase)**
 - Exhibit A Property Map: Confirm current exhibit "A" property map indicates adequate rights for property on which development will occur
 - Land Acquisition: Due to the variables associated with land acquisition, Sponsors must accomplish land acquisition prior to and separately from the grant for the development project. A proposed development project requiring land acquisition cannot commence if the Sponsor does not hold adequate property rights.
- __ i. DBE Program (Update every 3 years)**
 - Sponsors receiving more the \$250,000 in any fiscal year must have an approved DBE program on file with the FAA. Note the \$250,000 threshold applies to all AIP funds received in a fiscal year.
 - Sponsors must update their DBE program on a tri-annual basis and adjust project goals based on progress n meeting overall goal.
- __ j. FAA Owned Equipment? (2-3 years prior to construction phase)**
 - Identify any potential impacts to existing FAA owned Nav aids (ILS, Approach lights...)
 - Coordinate a "Discovery Meeting" with FAA ATO to ascertain extent of impact to FAA owned Facilities
 - Initiate process to establish a FAA Reimbursable Agreement (If required)
- __ k. Approach Procedures Impacts? (2-3 years prior to construction phase)**
 - Identify any potential impacts to existing or proposed approach procedures
 - Initiate process to secure qualified surveyor to obtain aeronautical information per FAA AGIS.
 - This process requires significant advance coordination. Plan on a 24-30 month process timeframe to amend procedures or to create new approach procedures.
- __ l. Pavement Maintenance Program (No later the 1 year prior to construction phase)**
 - Sponsors proposing to replace or reconstruct pavement must provide assurance to the FAA that they have implemented an effective pavement maintenance management program.



PROJECT INITIATION PHASE

- __ a. "Early Start" or "Go" Letter (1 to 2 years prior to construction phase)**
 - Sponsor receives notice from FAA of the potential for receiving Federal funding in the upcoming fiscal year.
 - **This notice is not a commitment or a guarantee of funds.** It is simply a "heads up" notice that funding for the project appears favorable
 - Sponsor should initiate actions that require long lead times in order to avoid delays in establishing a grant agreement.

- __ b. Secure an Engineering Consultant. (1-2 years prior to construction)**
 - If not already selected, the Sponsor should initiate a qualification-based selection of a professional consultant for design and construction services.
 - Due to increasing advanced coordination requirements, we prefer the practice of establishing "design only grants" one year prior to construction for moderate and complex projects. Small scale, simple projects may combine design services and construction services into one grant.

- __ c. DBE Project Specific goal (1 year prior to construction)**
 - Contact the FAA Civil rights office to confirm the status of your DBE goal update.
 - Establish project specific goals only if race/gender neutral methods do not satisfy the overall DBE goal.

- __ d. FAA Reimbursable Agreement (1 to 2 years prior to construction)**
 - If project physically impacts a FAA owned facility, Sponsor must enter into a Reimbursable Agreement with the FAA to address costs incurred by FAA oversight.
 - We recommend establishing a "design service" reimbursable agreement separate from "construction services" reimbursable agreements.
 - Current FAA policy requires advance payment to the FAA for all Reimbursable Agreements. Sponsors should plan to include this cost within the design only grant.

- __ e. Approach Procedures Amendments/Development (Submit 18 months prior commissioning)**
 - Sponsors must obtain and submit survey data through the FAA AGIS system prior to approach procedure development.
 - Submit survey data to AGIS for validation at least 18 months prior to proposed construction activity.

- __ f. System for Award Management (SAM) (Verify 6 months prior to grant application)**
 - Replaces the Central Contractor Registration
 - All AIP grant recipients must have an active registration in SAM.
 - Upon receipt of a project "Go Letter", Sponsors should verify their SAM registration status
 - Sponsors must re-activate their registration annually.

- __ g. Verify Data Universal Numbering System (DUNS) Number (Prior to application submittal)**
 - The Office of Management & Budget (OMB) has directed all Federal agencies to require applicants of Federal grants to provide a Dun & Bradstreet (D&B) Data Universal Numbering System (DUNS). .
 - Organizations should verify that they have a DUNS number or take the steps needed to obtain one as soon as possible. Visit <http://www.dnb.com/us/> for additional information.



DESIGN PHASE

- ___ a. Pre-design Meeting (1 year prior to construction phase)**
 - Prior to establishing an engineering agreement, the Sponsor and the selected consultant should confer with the FAA regarding the following:
 - Scope of the approved AIP eligible work, including limits of AIP participation.
 - Funding limitations,
 - Design alternatives,
 - Operational Safety and phasing requirements

- ___ b. Engineers Report (Submit 6-9 months prior to finalizing plans and specifications)**
 - A report prepared by the engineer that outlines design considerations and selections:
 - Pavement design form
 - Life cycle analysis (if a higher initial cost design is desired)
 - Preliminary itemized estimate of probable costs
 - Proposed Sponsor initiated modifications to FAA Standards

- ___ c. Construction Safety & Phasing Plan (CSPP) (6-9 months prior to finalizing P&S)**
 - Submit preliminary CSPP to FAA for review through the OEAAA system

- ___ d. Safety Risk Management (SRM) (6 months prior to finalizing P&S)**
 - Select projects may require an SRM panel due to project impacts to normal airport operations.
 - SRM panel will assess risks posed by the project and establish procedures to mitigate risk.

- ___ e. Preliminary Plans & Specifications (P&S) Submittal (3-4 months prior to advertising)**
 - Submit preliminary plans and specifications (P&S) typically at the 90% phase.
 - Complex projects may require earlier submittals. Less complex projects may only require one submittal.

- ___ f. Sponsor's annotated Response to FAA Comments. (2-3 months prior to advertising)**
 - The Sponsor's engineer shall provide a written response to each FAA comment by stating the action taken to resolve the comment.

- ___ g. Submittal of Final P&S and Sponsor Certification. (Immediately prior to advertising)**
 - Once all appropriate revisions are complete, the Sponsor shall submit one copy of the final plans and specifications along with an executed sponsor certification for plans and specifications.



BID PHASE

- ___ a. **FAA Approval to Solicit Bids (Immediately prior to advertising)**
 - Verify if FAA has granted approval to solicit bids (typically occurs with FAA approval with P&S).
 - This is especially critical for projects proposed for discretionary funding.
- ___ b. **Public Solicitation (At least 30 days prior to receiving bids)**
 - The Sponsor must publicly advertise for bids in order to solicit an adequate number of prospective bidders and to create a competitive bidding environment.
 - Sponsors should advertise for at least 30 days in order to give bidders adequate time to respond.
- ___ c. **Bid Opening**
 - Sponsor/consultant must publicly open bids to identify the apparent low bidder that they determine to be responsive and responsible.
- ___ d. **Bid Evaluation**
 - Sponsor must evaluate apparent low bid for such things as errors, irregularities, and responsiveness.
 - Enter into negotiations for flagged bid line items
 - Consult with FAA if only one bid received.
- ___ e. **Bid Hold Time**
 - Sponsors should establish the timeframe for holding bids within the bid package.
 - Entitlement funded projects hold for 45-60 days
 - Discretionary funded projects: hold for 90-120 days
- ___ f. **DBE Evaluation (Prior to award of contract)**
 - Sponsor must evaluate the apparent low bidders DBE participation to determine if:
 - Advertised goal was met
 - Apparent low bidder has provided good faith effort on why they failed to meet the advertised goal.
- ___ g. **Buy American Certification Evaluation (Prior to award of contract)**
 - Sponsor must evaluate the apparent low bidders submittal to determine if:
 - Apparent low bidder certifies they will meet Buy American preferences by only furnishing material and equipment manufactured in the United States.
 - Apparent low bidder requests a waiver to the 100% requirements. Any waiver request must include support documentation such as component cost calculation.
- ___ h. **Sponsor Written Recommendation (Required for FAA approval)**
 - Subject to the Sponsors determination of fair and reasonable costs, sponsor shall submit to the FAA:
 - A written recommendation of award of contract,
 - Copy of bid abstract
 - Contractor's proposed DBE participation and Sponsor approval of good faith efforts (if applicable)
 - Copy of Buy American Certificate and Sponsor approval of waiver request (if applicable)
- ___ i. **FAA Approval in Award of Contract (Prior to Grant offer)**
 - FAA will review the award documentation for a determination of AIP eligibility
 - The FAA bases their approval in the award of contract on a combination of sponsor certification and a cursory review of the bid results.
 - Sponsor must submit a complete "Sponsor Certification for Award of Contract" at the time they submit the bid summary information to the FAA.



GRANT APPLICATION

- __ a. Grant Application Form (*Prior to May 1st*)**
 - The Sponsor/Consultant must prepare and assemble a complete AIP grant application form.
 - FAA will only initiate a grant offer based upon defined costs as opposed to estimated costs.
 - The application should reflect the "as-bid" costs and other defined costs such as observation fees.
 - Sponsor must identify their Dunn & Bradstreet DUNS number on the project application.
- __ b. Certification of Title (Concurrent with Grant Application)**
 - Title certification is required for all development grants.
 - The Sponsor may address the "certification of title" by either completing item #10, Section C, Part II of the grant application or by attaching an executed Certificate of Title to the project application.
 - Sponsor must base Certificate of Title on a current title opinion.
- __ c. Exhibit A Property Map (Anytime prior to grant application)**
 - Attach a current copy of the Exhibit "A" property map.
 - If there are no changes in property ownership since the last submitted Exhibit A map, sponsor may refer to the previous Exhibit A map using the specific date of the current exhibit A map.

GRANT OFFER

- __ a. Congressional Release of Funds**
 - The Congressional Release is the official notification that a location will receive Federal funding.
 - The FAA will not initiate a grant offer until public release of the Congressional notification.
 - All actions prior to Congressional Release are viewed as a Sponsor initiative.
- __ b. Grant Offer and Execution**
 - The FAA will send two copies of the agreement (three in the case of co-Sponsors) to the sponsor for proper execution of the grant.
 - The authorized official shall sign and date the grant agreement.
 - Sponsor must execute the agreement within the time limit identified in the grant offer.
- __ c. Attorney Certification (Condition for FAA acceptance)**
 - The certification by the sponsor's attorney must occur after execution of the grant agreement by the Sponsor's authorized official.
 - FAA will reject attorney certifications made prior to execution of the grant agreement. The FAA will return such agreements to the Sponsor for corrective action.
- __ d. Executed Grant Agreement**
 - Return one copy of the executed agreement to the FAA prior to the date specified in the agreement.



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PROJECT COMMENCEMENT

- ___ a. **Preconstruction Meeting**
 - Hold a preconstruction meeting in accordance with AC 150/5300-9 prior to commencement of the work.
 - Discuss issues related to operational safety on the airport.
 - Discuss monitoring requirements for DBE, Labor and Buy American provisions.
 - Discuss requirement to submit a 7460-1 for high profile equipment (batch plant, cranes & etc).
 - Forward notification of this meeting to Homeland Security Office and local FAA operations personnel
- ___ b. **Buy American Conformance (*Prior to installation*)**
 - Verify the origin of manufacture for all steel and manufactured products.
 - Request for waiver requests must occur prior to installation.
- ___ c. **Strategic Event Notification (*45 days prior to outage*)**
 - If project causes outage impacts to existing FAA owned equipment, Sponsor must submit a notification form to the FAA ATO office 45 days **prior** to the anticipate outage.
 - Provide additional seven (7) day advance notice to local FAA personnel to confirm date of outage.
- ___ d. **Notice-to-Proceed (NTP)**
 - Issue a notice-to-proceed to the contractor once the following are met:
 - 1) Grant agreement properly executed,
 - 2) Proper execution of contract agreement and associated bonds
 - 3) FAA approves issuance of NTP, Construction Observation Plan (COP) and CSPP.
- ___ e. **Safety Plan Conformance (*As project progresses*)**
 - The airport operator retains overall responsibility for proper implementation of the safety plan.
 - Monitor contractor's compliance with approved CSPP throughout duration of the project.
 - Submit any proposed changes to the approved safety plan to the FAA for review and approval
- ___ f. **NOTAM**
 - Establish all required Notice-to-Airmen (NOTAMS) prior to commencement of work activities.

PROJECT EXECUTION

- ___ a. **Project Accomplishment**
 - Executed the project in accordance with the FAA approved plans and specifications and project schedule.
 - Prepare and submit quarterly performance reports that compare progress with the base line schedule.
- ___ b. **Change Orders/Supplemental Agreements**
 - Coordinate all change orders and supplemental agreements with the FAA for a determination of AIP eligibility and reasonableness of costs prior to implementing the change or seeking reimbursement.
 - For items of work that do not have an established unit price, prepare an engineer's estimate of cost **prior** to entering into negotiations with the contractor.
 - Submit a copy of the change order or supplemental agreement along with engineer's estimate of cost and the record of negotiations.
 - **Refrain from** making any drawdowns for costs associated with unapproved change orders.
- ___ c. **Periodic Payments (*Once month*)**
 - Sponsor may seek reimbursement for periodic payments made to the contractor for accepted work.
 - Assemble cost documentation that supports value of grant drawdown and prepare an invoice summary
 - Make drawdown through DELPHI eInvoicing system
 - Sponsors should not seek reimbursement of costs the FAA project manager has not approved.
- ___ d. **Inspection/Reporting**
 - Provide and maintain competent technical supervision at the construction site throughout the duration of the project.
 - Maintain detailed daily records that detail the work accomplished that day.
 - Prepare and submit progress reports. Check with FAA regarding frequency of submittal
- ___ e. **Final Acceptance**



Airports Division FAA Central Region

- Conduct a final inspection once all work is satisfactory completed.
- Prepare a record that documents the date of the inspection, those present and any punch list items.

PROJECT CLOSEOUT

- ___ a. **Final Outlay Report (SF-271)**
 - Prepare and submit a signed final SF-271 form. The outlay report should identify all final project costs as well as final Federal participation value.
- ___ b. **SF-425 Financial Report (concurrent with final report)**
 - Sponsors must complete and submit a SF-425 form (pdf) for each individual grant at the time of project closeout
- ___ c. **Final Construction Report (Within 90 days of project acceptance)**
 - Prepare and submit a final construction report that provides a brief narrative of the project, listing of milestone dates, explanation of contract time, statement of substantial compliance with approved plans and specifications, explanation of overruns and underruns, summary of acceptance testing results and photographs of completed work.
- ___ d. **As-built Project Drawings (Within 90 days of project acceptance)**
 - The sponsor must maintain a copy of the record drawings for the completed project. It is not necessary to submit a copy of "as-built" drawings to the FAA unless specifically requested by the FAA project manager.
- ___ e. **As-Built Airport Layout Plan (Within 90 days of project acceptance)**
 - Required when improvements alter existing airfield geometric configurations.
 - AIP eligible costs limited to revising ALP set to reflect new configuration.
 - Costs may not include updates for future development or previous completed ineligible improvements.
- ___ f. **As-Constructed Field Survey (Within 90 days of project acceptance)**
 - Required for projects that impact existing runway thresholds (*Does not take the place of AGIS submittal*)
- ___ g. **5010 Updates (Submit 6 weeks prior to publication date)**
 - Submit redline copy of current 5010-1 form (only if project results in changes to current 5010 information)
- ___ h. **Final Project Budget Summary (Submit 6 weeks prior to publication date)**
 - Prepare and submit a detailed project cost summary that identifies all claimed costs and expenses.
- ___ i. **Support Documentation for Final Expenses**
 - Provide a copy of all final invoices, billings statements and progress estimates that support all claimed costs.
- ___ j. **Sponsor Certification for Final Acceptance**
 - Execute and submit the sponsor certification for final acceptance.

GRANT AMENDMENT

- ___ a. **Amendment Limitations**
 - If sponsor incurs an overrun in approved eligible costs, the FAA may increase the grant up to an amount not exceeding a statutory 15% limitation.
 - The scope of work in the original grant description establishes the limits of AIP participation for an amendment. Sponsors shall refrain from adding work to a project simply to use up remaining AIP funds or to implement the 15% overrun allowance.
 - Costs that exceed the 15% limitation are not eligible for reimbursement under the AIP.
- ___ b. **Amendment Request**
 - To amend a grant, the sponsor must make a formal written request that provides an explanation and justification for the overrun in eligible costs.
 - FAA will not consider an amendment until Sponsor submits all required closeout documentation for FAA review and approval.
- ___ c. **Amendment Offer**
 - FAA does not guarantee funds will be available for covering grant amendments. The process to amend a grant may take a significant amount of time.



POST GRANT REQUIREMENTS

- ___ a. Record Keeping**
 - Per 49 CFR Part 18.42, Sponsors must maintain pertinent records and documentation that fully disclose the amount and disposition of federal funds.
 - Sponsor must retain records for a minimum of three years from fiscal closure.
- ___ b. Audits**
 - Sponsors that receive over \$500,000 in federal funds within a year are required to conduct a single audit that complies with OMB Circular A-133.
 - Sponsors that receive less than \$500,000 federal funds are not required to complete the single audit but must maintain adequate records and documentation within an acceptable accounting system to facilitate an audit.
- ___ c. Financial Reports (Commercial Service Airports) (*within 120 days of fiscal year end*)**
 - Per grant assurance #26, Sponsors at commercial service airports must prepare and submit financial and operations report within 120 days of the end of their fiscal year. Refer to Advisory Circular 150/5100-19.
- ___ d. Compliance**
 - Airport owners/operators who accept a Federal grant also accept certain conditions and assurances for which the sponsor must comply with beyond completion of the project.
 - The FAA Compliance program provides oversight of sponsor efforts in complying with Federal Obligations.
- ___ e. Pavement Maintenance Program**
 - For project replacing or reconstructing airfield pavements, the sponsor must implement an effective pavement maintenance management program that is acceptable to the FAA.