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**U.S Department
of Transportation
Federal Aviation
Administration**

Memorandum

Western-Pacific Region
Airports Division
P.O. Box 92007, WPC
Los Angeles, CA 90009

Subject: Western-Pacific Regional Policy Guidance
No. 11 - Airports Division Approval and
Sponsor Certification of Plans and
Specifications

Date: DEC 14 1999

From: Manager, Airports Division, AWP-600

**Reply to
Attn. of:**

To: All Division Employees

Attached is Western-Pacific Regional Policy Guidance No. 11 - Airports Division Approval and Sponsor Certification of Plans and Specifications for your use. This directive provides guidance to Western-Pacific Region Airports Division staff in approving plans and specifications for projects to be funded under the Airport Improvement Program (AIP). This directive also provides guidance for evaluating and accepting the sponsor's certification of AIP project plans and specifications.

Policy Guidance No. 11 supercedes Order WP AS 5100.4B, Approval of Plans, Specifications, Change Orders, and Supplemental Agreements, dated April 17, 1990, and Order WP AS 5100.7B, Sponsor Certification of Project Plans and Specifications, Airport Grant-in-Aid Program Projects, dated January 9, 1990.

Please direct any questions or comments to Kevin Flynn via cc:mail or at (310) 725-3632.

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Herman C. Bliss

Attachment

WESTERN-PACIFIC REGION POLICY GUIDANCE NO. 11
AIRPORTS DIVISION APPROVAL AND SPONSOR CERTIFICATION
OF PLANS AND SPECIFICATIONS

Dated: DEC 14 1999

1. **PURPOSE:** This policy provides guidance to Western-Pacific Region Airports Division staff in approving plans and specifications for projects to be funded under the Airport Improvement Program (AIP). This policy also provides guidance for evaluating and accepting the sponsor's certification of AIP project plans and specifications, in compliance with FAA standards defined by Grant Assurance #34, and in accordance with Section 509(d) of the Airport and Airway Improvement Act of 1982, as amended.
2. **DISTRIBUTION:** This policy is distributed to Airports Division engineering staff at the Regional and District Offices of the Western-Pacific Region.
3. **CANCELLATION:** This guidance supercedes Order WP AS 5100.413, Approval of Plans, Specifications, Change Orders, and Supplemental Agreements, dated April 17, 1990, and Order WP AS 5100.713, Sponsor Certification of Project Plans and Specifications, Airport Grant-in-Aid Program Projects, dated January 9, 1990.
4. **RESPONSIBILITY:** The Airports District Office (ADO) Manager and Supervisor of the Standards Section (AWP-621) are responsible for insuring that the review and approval of plans and specifications along with the processing of Sponsor Certifications is in accordance with applicable agency standards, criteria, and policies.

Additional guidance pertaining to this subject can be found in:

Order 5100.38A, Airport Improvement Program (AIP) Handbook

Program Guidance Letter 91-1.1 Sponsor Certification

5300.1 E, Approval Level for Modifications of Agency Airport Design and Construction Standards (or current version)

Advisory Circular 150/5370-10A (with changes), Standards for Specifying Construction of Airports

Advisory Circular 150/5345-1 U (or current version), Approved Airport Equipment

Requirements for Invitation for Bid, Notice to Bidders, and Standard Contract Clauses for Airports Program Construction Projects, dated June, 1992.

5. **BACKGROUND:** Airport development projects should be administered with the philosophy that responsibility for insuring compliance with airports program requirements rests with the sponsor. The sponsor also has the responsibility for the preparation of proper project documents.

Because of limited manpower and the continuing high airports program workload, the time and talents of the Airports Division program engineers must be utilized wisely. Many projects are designed by the same consultants/engineers. The Airports Division program engineer should become familiar with the ability and responsibility of these engineers. Engineering plans, specifications, and associated documents prepared by those who know the program and limits of design per the FAA Advisory Circulars would require less review time than documents prepared by those new to the program or those who continue to give problems. In many cases, a brief overview of plans to determine conformance with the program should be all that is required.

6. **REVIEW PROCEDURES:**

- a. Sponsors shall be encouraged to provide a certification to the effect that project plans and specifications comply with applicable FAA design and construction standards, with approved deviations

(Attachement 1). Any request for deviations or modifications to standards must be processed in accordance with FAA Order 5300.1 E.

The sponsor's official, authorized to execute an application for federal assistance may certify that the project plans and specifications, as submitted to the FAA, conform to FAA standards. It is allowable by mutual agreement between the sponsor and the Airports Division program engineer to have the certification executed by other representatives of the sponsor.

Generally, the Airports District Office or Standards Section (AWP-621) will accept the Sponsor Certification For Project Plans and Specifications. Acceptance of the certification, however, does not in any way impede or prevent the review and evaluation of the plans and specifications by the Airports Division program engineer. If the Airports Division program engineer determines that the plans and specifications do not meet AIP standards and/or eligibility requirements, these documents may be disapproved, regardless of the sponsor certification.

b. In addition to processing the certification referenced in 5:a., the Airports Division program engineer shall determine the extent of FAA oversight and level of review for the project plans and specification based on the complexity of the project, the sponsor and consultant's quality of past work, and their experience with similar projects. Special consideration and evaluation shall be given to what affects the proposed project may have on safety on and around the airport. The review and oversight shall consist of the following depending on the aforementioned considerations, available resources, and professional judgement of the Airports Division program engineer:

(1) The Airports Division program engineer shall obtain and review preliminary design reports, plans and specifications addressing geotechnical, electrical, drainage, topographical, etc. These reports will be reviewed as early in the process as possible to assure that the sponsor, the consultant/engineer, and the Airports Division program engineer all agree on the criteria used to design the project.

(2) Ensure that airport safety during the construction period has been incorporated into the planning, engineering, design and implementation of all construction phases, in accordance with Advisory Circular 150/5370-2C (or current version), "Operational Safety on Airports During Construction." Ensure that the construction safety plan, when applicable, has been reviewed and coordinated with the appropriate parties.

(3) Ensure that the proposed work conforms to the approved Airport Layout Plan and AIP grant description. If such work is not included in the grant description, it must be clearly identified by the sponsor as ineligible for federal participation, and identified by the Airports Division program engineer in the approval letter.

(4) Ensure that the design and dimensional criteria of the project conform to applicable airport design criteria. Particular attention shall be given to safety areas, object free areas, obstacle free zones, and guidance sign locations.

(5) Ensure that the sponsor's Engineer's Report and construction cost estimate for the documents are adequate, reasonable, and satisfactory.

(6) Ensure that airport tenant coordination has been completed as appropriate.

(7) The Airports Division program engineer should review the longitudinal and transverse elevation of the paving plans. Generally, earthwork cross sections need not be reviewed.

(8) Airport drainage plans should be evaluated to assure the system design works effectively. The sponsor's Engineer's Report must contain sufficient information to verify the adequacy of the system design.

(9) Airports Division program engineer will review lighting and signage plans and specifications. Complex systems, including electrical vault design and equipment, and other intricate in-pavement lighting system may require assistance from the Regional Lighting Engineer. The level of lighting system review will depend on the expertise of the sponsor's electrical design engineer.

(10) It is recommended that the Airports Division program engineer use a checklist to be completed and filed as a part of the review of project plans and specifications. Such a checklist (see Attachment 2 for example) will be used as a tool to ensure a thorough and consistent review of project plans and specifications.

7. APPLICATION OF FAA STANDARDS FOR CONSTRUCTION OF AIRPORTS: The sponsor shall use all applicable provisions of Advisory Circular 150/5370-10A (with Changes) "Standards for Specifying Construction of Airports," when preparing plans and specifications for construction projects to be financed by AIP grant funds.

8. FAA APPROVAL OF PLANS & SPECIFICATIONS:

a. If the review of the project plans and specifications results in major concerns regarding safety, standards, or eligibility, these concerns shall be addressed in writing to the sponsor. The plans and specifications shall not be approved until these concerns are addressed. Once addressed, the plans and specifications shall be resubmitted to the FAA for approval.

b. If the review of the plans and specifications results in only minor comments, the documents may be approved based on sponsor certification contingent upon those concerns being addressed. The Airports Division program engineer will stamp, sign, and date the plans and specifications with the appropriate Airports Division approval stamp. The sponsor shall be notified in writing of the approval.

c. If the Airports Division program engineer has no comments on the plans and specifications, they shall be approved based on certification. The Airports Division program engineer will stamp, sign, and date the plans and specifications with the appropriate Airports Division approval stamp. The sponsor shall be notified in writing of the approval.

Herman C. Bliss
Manager, Airports Division

SPONSOR CERTIFICATION FOR PROJECT PLANS & SPECIFICATIONS

SPONSOR'S NAME:

AIRPORT:

PROJECT NUMBER:

PROJECT DESCRIPTION

Section 509(d) of the Airports and Airway Improvement Act of 1982, as amended, authorizes the Secretary to require certification from sponsors that they will comply with statutory and administrative requirements. This sample certification includes a list of major requirements for this aspect of the project implementation. The list is not comprehensive, nor does it relieve sponsors from fully complying with all applicable statutory and administrative standards. Every certified item must be marked. Each certified item with a "NO" response must be fully explained in an attachment to the certification. If the item is not applicable to this project, mark the item "N/A". General AIP standards are described in Advisory Circulars 150/5100-6, 150/5100-15, and 150/5100-16. A list of current advisory circulars with specific standards for design or construction of airports and procurement or installation of airport equipment and facilities is referenced in Grant Assurance 34.

1. The plans and specifications are developed in accordance with all applicable Federal standards and requirements, and no deviation from or modification to standards set forth in the Advisory Circulars was necessary other than those previously approved by FAA.

YES: NO: N/A:

2. Specifications for the procurements of equipment are not proprietary or written so as to restrict free and open competition.

YES: NO: N/A:

3. The development included in the plans is depicted on the Airport Layout Plan (ALP) approved by the FAA.

YES: NO: N/A:

4. Development, which is ineligible for AIP funding, has been omitted from the plans and specifications.

YES: NO: N/A:

5. Process control and acceptance tests required for the project by standards contained in Advisory Circular 150/5370-10 is included in the project specifications.

YES: NO: N/A:

6. If a value-engineering clause is incorporated into the contract, concurrence was obtained from FAA.

YES: NO: N/A:

7. The plans and specifications incorporate applicable requirements and recommendations set forth in the Federally approved environmental finding.

YES: NO: N/A:

8. For construction activities within or near aircraft operational areas, the requirements contained in Advisory Circular 150/5370-2 have been discussed with FAA and incorporated into the specifications. A safety/phasing plan will be obtained, if required.

YES: NO: N/A:

9. The project will be physically completed without Federal participation in costs due to errors or omissions in the plans and specifications, which were, foreseeable at the time of project design.

YES: NO: N/A:

I certify that, for the project identified herein, the responses to the foregoing items are correct as marked, and that the attachments, if any, are correct and complete.

Signed: _____
Sponsor's Authorized Representative

Dated: _____

Typed Name and Title of Sponsor's Representative

PLANS AND SPECIFICATION REVIEW CHECKLIST

Project:

AIRPORT:
AIP PROJECT NO.:

ITEMS:	YES	NO	NA	REMARKS
ENGINEER' REPORT				
Description of Project				
Deviations from FAA Specs/Justification				
Discussion of Testing Requirements				
Construction Management Plan				
Design Calculations				
Soils Investigations/Geotechnical Report				
Drainage Design Calculations				
Pavement Design Form, FAA Form 5100-1				
Engineer's Estimate				
Eligible/ineligible				
Within project cost?				
Economic Analysis				
Sketch				
Conforms with approved ALP				
Sponsor Certification for Plans & Spec				
SPECIFICATIONS				
Correct Project #				
Bid Notice				
Scope				
Required federal language				
Bid Bond Requirement				
Performance Bond Requirement				
Payment Bond Requirement				
Contract Time				
Liquidated Damages				
State License requirements				
Instruction to Bidders				
Standard Federal Contract Clauses				
Standard EEO requirements				
DBE goals				
Current Wage Rates				
Contract Time				
Liquidated Damages				
Bid Form (Schedule)				
Buy American Certificate				
Bid Bond				
Designation of Subcontractors				
EEO Statement				
Nonsegregated Facilities				
DBE Certificate				
Suspen.& Debarment Req., Contracts > \$25K				
Foreign Trade Restrictions Cert.				
Contract (Agreement)				
Performance Bond				
Payment Bond				
General Provisions (Sections 10-110)				
Safety Considerations				
Technical Provisions				
<u>Special Conditions</u>				

PLANS AND SPECIFICATION REVIEW CHECKLIST

Project:

AIRPORT:

AIP PROJECT NO.:

ITEMS:

YES NO NA REMARKS

PLANS**Title Sheet**

Correct Project #

Project Description

Construction Layout Plan

Haul Routes

Contractor Storage Area

Grading Plan

Location of Utilities

Soil Borings**Pavement Plans**

Cross Sections

Typical Sections

Grading Profiles

Transition Section Details

Joint Details - PCC Pavement

Reinforcing Details - PCC Pavement

Duct Layout and Details**Marking**

Plan view

Dimensions

Color(s)

Details of temporary markings

Drainage Plans

Layout of all existing facilities.

Layout of all planned facilities

Profiles

Fencing

Layout

Fence Details

Gate Details

Lighting

Runway light layout

Runway light details

Taxiway light layout

Taxiway light details

Guidance sign layout

Guidance sign details

NAVAIDS**VISAIDS**

Segmented Circle

Airport Beacon

Wind Cone

Miscellaneous