

ADOT-Multimodal Planning Division-Aeronautics Group 2011 Design/Construct Grant Check List

This checklist is to help ADOT Grant Managers and Sponsor Grant Managers ensure correct completion of Grant coordination and documentation. It is not guaranteed to be 100% inclusive; other actions and documents may be required or requested.

GRANT ASSURANCES

- | | |
|---|---|
| <ul style="list-style-type: none"><input type="checkbox"/> Quarterly Based Aircraft Reports<input type="checkbox"/> Approved ALP includes grant project<input type="checkbox"/> Airport has good title of the land<input type="checkbox"/> Environmental approvals<input type="checkbox"/> Grant matching funds in place<input type="checkbox"/> Pavement Preservation Program<input type="checkbox"/> Protect approach surfaces & remove hazards | <ul style="list-style-type: none"><input type="checkbox"/> Compatible land use near airport<input type="checkbox"/> Public use – No exclusive use<input type="checkbox"/> Compliance with Federal, State & Local Laws, Regulations & Policies<input type="checkbox"/> Competent project supervision<input type="checkbox"/> Records kept and made available to FAA & ADOT |
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GRANT APPLICATION PHASE

- Accept grant within four months of the State grant offer**
- Commence project within six months of the State grant offer**

The checklist always refers to both ADOT & FAA. However, if grant is State/Local, no coordination is needed with FAA related to the grant funding & grant paperwork.

**DATE/SENT
RECEIVED**

- _____ 1) Sponsor Submits ACIP Application to ADOT or AIP Application to FAA.
- _____ 2) FAA Grant Offer Sent to Sponsor (If F/S/L).
- _____ 3) Sponsor Signs Grant Offer and Returns to FAA. Sponsor Requests ADOT Matching Grant (If F/S/L).
- _____ 4) FAA Grant Documents Received & ADOT Matching Grant Requested by Sponsor (If F/S/L).
- _____ 5) ADOT Grant Agreement Sent to Sponsor with STB Approval Date.
- _____ 6) Signed Grant Agreement received from Sponsor.
- _____ 7) Executed Grant Agreement sent to Sponsor.
- _____ 8) Sponsor Receives Executed Grant.

LOCAL GOVERNMENT INVESTMENT POOL (LGIP)

DATE/SENT RECEIVED

- _____ 9) LGIP Agreement documents sent to Sponsor.
- _____ 10) Completed LGIP Agreement received from Sponsor.
- _____ 11) ADOT Executes LGIP Agreement.
- _____ 12) Executed LGIP Agreement sent to Sponsor.
- _____ 13) ADOT prepares LGIP account and notifies Sponsor.

DESIGN PHASE

General Consultant Agreement/Consultant Selection

DATE/SENT RECEIVED

- _____ 14) Proposed General Consultant Agreement Solicitation received from Sponsor.
- _____ 15) General Consultant Agreement Solicitation reviewed and approved by FAA/ADOT.
- _____ 16) General Consultant Agreement Solicitation approval letter sent to Sponsor.
- _____ 17) Executed General Consultant Agreement with Selected Consultants received from Sponsor.



Although the general solicitations for consultants may be done in advance of the grant agreement as a usual part of Sponsor activities, the documents still must be submitted and approved by FAA/ADOT for each grant project where the solicitation results will be used to generate the project consultant contract. Also, the projects that may be awarded under that agreement must also be listed in the general solicitation per A.R.S. 34-603 & 604.

DESIGN PHASE (Continued)

Project Contract Scope of Work/Consultant Negotiation

**DATE/SENT
RECEIVED**

- _____ 18) **Proposed Consultant Contract Scope of Work received from Sponsor.**
(Schedule Milestone: **SUBMIT SCOPE FOR ADOT/FAA REVIEW**)
- _____ 19) Consultant Contract Scope of Work (SOW) review and approval by ADOT/FAA.
- _____ 20) Consultant Contract Scope of Work (SOW) approval letter sent to Sponsor.
- _____ 21) **Copy of executed Final Consultant Contract SOW received from Sponsor.**
(Schedule Milestone: **SUBMIT CONTRACT FOR ADOT/FAA REVIEW**)
- _____ 22) **Sponsor awards consultant contract within one year of the State Transportation Board Approval.**
(Schedule Milestone: **AWARD CONSULTANT CONTRACT**)

Engineering

**DATE/SENT
RECEIVED**

- _____ 23) **Copy of Notice to Proceed (NTP) to consultant received from Sponsor.**
(Schedule Milestone: **SPONSOR ISSUES NOTICE TO PROCEED /
START DESIGN**)
- _____ 24) Sponsor submits completed Project Reimbursement and Milestone schedules to ADOT/FAA.
- _____ 25) **Sponsor conducts Concept Design Review meeting with ADOT/FAA and Sponsor's consultant at approximately 30% completion point for Project design.**
(Schedule Milestone: **CONDUCT 30% DESIGN REVIEW AT ADOT**)
- _____ 26) ADOT issues notice to proceed with final design upon satisfactory completion of the review. Sponsor proceeds to 100% plans.
- _____ 27) **Sponsor submits 100% plans, specs, and estimate for ADOT/FAA review. Sponsor requests approval of bid set from agencies.**
(Schedule Milestone: **CONDUCT 100% DESIGN REVIEW AT ADOT**)



NOTE: This is the end of the design phase. All design only grants stop here.



CONSTRUCTION PHASE

Bidding

**DATE/SENT
RECEIVED**

- _____ 28) Sponsor submits 100% plans, specs, and estimate for ADOT/FAA review. Sponsor requests approval of bid set from agencies (This item is repeated if the project has been on the shelf long enough to need updating prior to advertising).
- _____ 29) **ADOT/FAA approve bid set and sponsor advertises project for bids.**
(Schedule Milestone: **ISSUE INVITATION FOR BIDS**)
- _____ 30) **Sponsor receives bids and reviews bids. Sponsor sends bid tabs and review to ADOT/FAA.** (Schedule Milestone: **SUBMIT BID TAB FOR ADOT REVIEW**)
- _____ 31) Sponsor requests approval from ADOT/FAA prior to a formal award of the construction contract.
- _____ 32) **ADOT/FAA approve bid tabs. Sponsor Awards Contract.**
(Schedule Milestone: **AWARD CONSTRUCTION CONTRACT**)

Construction

**DATE/SENT
RECEIVED**

- _____ 33) Sponsor submits an FAA Form 7460-1, Notice of Proposed Construction or Alteration before construction, installation or alteration of any Project under this Agreement that falls under the requirements of Subpart B to Part 77, Objects Affecting Navigable Airspace.
- _____ 34) **Sponsor schedules preconstruction conference and invites ADOT/FAA.**
(Schedule Milestone: **PRECONSTRUCTION**)
- _____ 35) Sponsor regularly submits reports that reflect the progress accomplished in relation to the contract schedule and milestones, reasons for delays, and recommended corrections of problems. ADOT/FAA concurrence is requested as required.
- _____ 36) **Sponsor schedules final inspection and invites ADOT/FAA.**
Prior to final payment of funds for work performed under this Agreement, the State may perform an inspection of the work site to assure compliance with the terms herein and to review the workmanship of the Sponsor's contractors and/or consultants.
(Schedule Milestone: **FINAL INSPECTION**)
- _____ 37) **Sponsor submits As-Built plans to ADOT/FAA**
(Schedule Milestone: **SUBMIT AS-BUILTS**)
- _____ 38) **Sponsor submits Final GRR** and supporting documents and letter to ADOT/FAA specifying that the Project has been completed to their satisfaction and that the consultant and the contractor have completed their contractual responsibilities.
(Schedule Milestone: **SUBMIT FINAL REIMBURSEMENT REQUEST**)
- _____ 39) Project close out letter received from Sponsor. ADOT reviews final documents and closes out project.

GRANT CHANGE REQUIREMENTS:

- Any changes to the consultant contract, authorized by the Sponsor, that include additional funds shall be by amendment and shall be approved by the State prior to being made in order to be eligible for reimbursement.
- Any modification to the approved plans, specifications and schedules shall also be subject to approval of the State and incorporated into the Grant Agreement.
- Any changes to the construction contract documents, authorized by the Sponsor, must be approved by the State prior to being implemented by the Sponsor in order to be eligible for reimbursement under the grant.
- Any increase to the amount of funds authorized hereunder must be by formal amendment and signed by all parties.
- Any changes to the construction and/or planning contract documents, authorized by the Sponsor, must be approved by the State prior to any changes being made in order to be eligible for reimbursement.

AUTHORITIES REFERENCED

1. **Arizona Department of Transportation, “AIRPORT DEVELOPMENT REIMBURSABLE GRANT AGREEMENT”**
 - http://mpd.azdot.gov/MPD/Airport_Development/PDF/Grant_Agreement_092010.pdf
 - http://www.azdot.gov/MPD/Airport_Development/PDF/Exhibit_C_Design_Const_092010.pdf
 - This is the standard Agreement template used for all design only, all design/construct, and all construction grants given by ADOT to sponsors of airports either as a matching grant to an FAA AIP grant or as a State/Local grant.
 - Airport Sponsors and their designees must meet all requirements in the Grant Agreement.

2. **“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)”, April 2007, Pages 1-37**
 - http://www.azdot.gov/MPD/Airport_Development/PDF/Arizona_Best_Practices_Guide_Final_41807.pdf
 - This document was created cooperatively by the FAA, ADOT, and AzAA to clarify roles, responsibilities, and expectations of all affected parties when conducting airport related business within the State of Arizona.
 - This document is intended to provide guidance only and does not supersede any Federal, State, or Local laws, or rules and regulations.
 - Airport Sponsors and their designees are expected to follow these guidelines.

3. **Arizona Department of Transportation, Multimodal Planning Division, Aeronautics Group, “GRANTS 101”, April 2008**
 - http://www.azdot.gov/MPD/Airport_Development/PDF/Grants101_presentation_pdffor_m.pdf
 - This document was created by the ADOT Aeronautics Staff to assist sponsors with ADOT Airport Capital Improvement Program (ACIP) Grants.
 - The PowerPoint was presented at the AzAA Spring Conference on April 16, 2008.
 - Although some information has changed, it is still a great reference and basic resource regarding ADOT ACIP grants.

4. **Arizona Department of Transportation, Multimodal Planning Division, Aeronautics Group, “Grants 202”, October 2009**
 - http://www.azdot.gov/MPD/Airport_Development/PDF/Grants202Final.pdf
 - The PowerPoint was presented at the AzAA Fall Conference on October 21, 2009.
 - Updates Grants 101 and provides checklist, more detailed “How To” style information.