

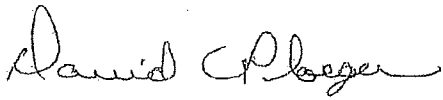
New Mexico Airports Best Practices Guide

NEW MEXICO AIRPORTS BEST PRACTICES GUIDE

This represents a cooperative effort by the New Mexico State Aviation Division (NMAD) the New Mexico Airport Managers Association (NMAMA,) and the Federal Aviation Administration, Southwest Region, Airports Division (FAA).

This document has been coordinated with and approved by:

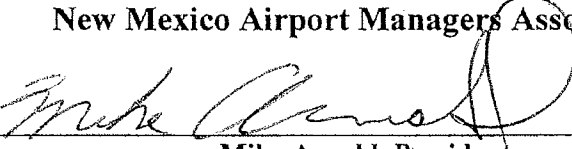
New Mexico State Aviation Division

By: 

David C. Ploeger, Director

Date September 22, 2010

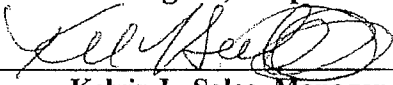
New Mexico Airport Managers Association

By: 

Mike Arnold, President

Date 10/13/10

Federal Aviation Administration, Southwest Region, Airports Division

By: 

Kelvin L. Solco, Manager

Date September 27, 2010

TABLE OF CONTENTS

INTRODUCTION	4
I. ROLES AND RESPONSIBILITIES	6
II. COMMUNICATION PROCESS	7
III. PROFESSIONAL SERVICES AGREEMENTS (PSA) PROCESS	10
IV. AIRPORT CAPITAL IMPROVEMENT PLAN (ACIP) PROCESS	12
V. MASTER/ACTION PLAN PROCESS	15
VI. AIRPORT LAYOUT PLAN REVIEW & APPROVAL PROCESS	17
VII. AIRSPACE PROCEDURES.....	19
VIII. FAA & NMAD FUNDING PROCESS	21
IX. BID PROCESS	28
X. SPONSOR CONTACT LIST	31
XI. FAA MASTER PROGRAM FILES	32
XII. ENVIRONMENTAL OVERVIEW PROCESS.....	34
APPENDIX 1 – GRANT FUNDING PROCESS	37
APPENDIX 2 – 3 YEAR CIP	39
APPENDIX 3—3 YEAR PROJECT PLANNING CHECKLIST	40
APPENDIX 4 – SPONSOR/CONSULTANT COORDINATION LISTING.....	42
APPENDIX 5 – FAA ALP CHECKLIST	45
APPENDIX 6 – NMAD STAFFING	51

INTRODUCTION

This Best Practice Guide is the result of the efforts of several entities concerned about providing the best services to New Mexico airports' customers. The primary goal of this document is to create a strong partnership between the FAA, NMAD and NMAMA, Sponsors and Consultants. Although titled as a Guide there are unidentified specifics of federal law and FAA rules and procedures stated throughout.

As a result of building this partnership, the FAA, NMAD and NMAMA have coordinated this Guide to ensure the highest quality of airports and FAA funded projects in the entire state and to explore opportunities to better meet the needs and expectations of both FAA and other stakeholders.

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 New Mexico. 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 of this guide is to more effectively coordinate among the FAA, NMAD, the Sponsor and the consultant to prepare a capital improvement program and maximize the available funding for each airport in the National Plan of Integrated Airport System, (NPIAS). Communicating more frequently and sharing information and justification among the parties is just one step in moving towards a more efficient system. It is also the intent of this Guide to assist all of those involved in the process to have a better understanding of the requirements of grant management.

The NMAD is the primary agency for gathering of these requests for changes and of the publication and disbursement of this Guide. To avoid this being a continuous update situation this Guide will be updated only annually, on the last Friday of each August. To allow coordination and revisions all recommended and suggested changes must be received by NMAD no later than the close of business on the last Friday of July to be considered. The NMAMA President, NMAD and FAA will confer no later than the second Friday of August for evaluation of any changes or updates. NMAD will establish a means of tracking and responding to requests and suggestions.

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

- I. Roles and Responsibilities
- II. Communication Process
- III. Professional Service Agreements Process
- IV. Airport Capital Improvement Plan (ACIP) Process
- V. Master/Action Plan Process
- VI. Airport Layout Plan Review (ALP) & Approval Process
- VII. Airspace Procedures
- VIII. FAA & NMAD Funding Process
- IX. Bid Process
- X. Sponsor Contact List
- XI. FAA Master Program Files
- XII. Environmental Overview Process

The FAA Southwest Region Airports Division, New Mexico Aviation Division and the New Mexico Airport Managers Association wish to thank the Western Pacific Region Airports Division, Los Angeles Airports District Office, Arizona Department of Aeronautics and the Arizona Airport Managers Association for their assistance with this Guide.

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 New Mexico. 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 Airport Improvement Program (AIP) and Passenger Facility Charges (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 with each of its stakeholders, seeking opportunities to streamline processes and reduce time whenever applicable.

NMAD's Role:

The role of the NMAD is to provide the citizens of New Mexico with a safe, balanced and integrated statewide aviation system to meet present and future needs. As the State's proponent for General Aviation, the NMAD 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 New Mexico 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 Sponsor is the owner of the airport and the recipient of FAA and NMAD grants for airport improvements. The responsibility of the Sponsor is to effectively manage the day-to-day operations, foster and promote the development of their 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. The Sponsor is responsible for ensuring the conditions contained in their FAA and NMAD grants are met. The Sponsor may perform any function of the Consultant in this document provided they have the qualified staff.

Consultant's Role:

The Consultant is hired by the sponsor. The 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 NMAD. 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.

While the sponsor may elect to have a consultant act as liaison between the FAA and State on airport projects the sponsor shall always remain the responsible party for compliance with federal and state requirements for any airport project.

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 New Mexico. 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:

The FAA is committed to providing the best service possible to all internal and external customers. FAA has looked extensively within its organization and has made commitments to focus on 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 or line-of-business.
5. The FAA will communicate to each stakeholder the AIP/PFC schedule, required documentation, and information on the programmed projects and funding.
6. The FAA will communicate to each stakeholder as the Program Manager or other key personnel change.

The FAA will utilize letters or e-mail over voice conversations to communicate any approvals, authority to bid, comments on submissions, etc. Voice communications and meetings can be used to obtain additional information and to communicate concerns. The use of hand written comments on drawings, airport layout plans, etc. is acceptable as long as comments are summarized in a letter or e-mail.

The role of the FAA Program manager has expanded within the past several years. These roles, new requirements and needs will be expanded on throughout this guide.

NMAD's Role: The NMAD is committed to:

1. Providing support to all qualified New Mexico 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 sponsors recognize their role in the process of airport development and the grant obligations.
3. Enhancing the lines of communication between the FAA, Sponsor and Consultant.
4. Communicating to other parties the areas of responsibility for the NMAD staff.
Appendix 6 Lists the roles and responsibilities of the current NMAD staff.

The NMAD will utilize letters or e-mail over voice conversations to communicate any approvals, authority to bid, comments on submissions, etc. Voice communication and meetings can be used to obtain additional information and to communicate concern. The use of hand written comments on drawings, airport layout plans, etc. is acceptable as long as comments are summarized in a letter or e-mail.

Sponsor's Role: The Sponsor is committed to:

1. Effectively communicating any and all concerns as soon as possible to the other parties in order to jointly work together to effectively resolve an issue.
2. Resolving a situation at the project management level within the FAA or NMAD.
3. Submitting all required documentation to FAA and NMAD in a timely manner.
4. Addressing all communications to the project manager in either the FAA or NMAD 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.
5. Communicating matters of the Sponsor's policy or decisions to the FAA and NMAD. These items cannot be delegated to the Consultant.
6. Recognizing the new and expanding role of NMAD in the planning and funding of projects across the State. Project coordination is not only required and needed with the FAA but also with the State.
7. Executing all documents required of the Sponsor, to include all grant requests, grant offers, funding requests, certifications, status reports, etc. The Sponsor's Consultant cannot execute funding or contractual documents on behalf of the Sponsor.
8. Communicating to the FAA or NMAD as changes to the head of their governing body, the County/City/Town/Village manager, airport manager or other key personnel occur.
9. Budgeting funds to complete on-going projects as well as funding for anticipated projects that are being contemplated for the Sponsor's fiscal year.

10. Utilizing letters or e-mail over voice conversations to communicate submissions, etc. Voice communications and meeting can be used to obtain additional information and to communicate concerns.

Consultant's role: The Consultant is committed to:

1. Effectively, and in a timely manner, communicating 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 NMAD.
2. Coordinating 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. These roles and responsibilities must be contained in the scope of work contained in the consultant's contract.
3. Accurately representing the Sponsor's policies and decisions and acting in the Sponsor's best interest and as directed by the Sponsor.
4. Acting as an intermediary between Sponsor, FAA, and NMAD, keeping an open, honest, comprehensive, up-to-date flow of information to all appropriate parties.
5. Ensuring that copies of all correspondence (hard copy or digital) between consultant and NMAD or FAA are sent to Sponsor.

III. Professional Service Agreement (PSA) PROCESS

In general, the Sponsor and Consultant enter into a multi-year Professional Service Agreement (PSA) for Architectural/Engineering/Planning/Environmental (A/E/P/E) services for the airport. For one-time A/E/P/E needs, such as a new commercial services terminal building, a project specific PSA may be in the best interest of the Sponsor. A Professional Service Agreement (PSA) is a multi-year contract between an airport sponsor and a consulting firm for specific airport planning and/or airport engineering/architectural/construction administration/environmental services as defined in the Request for Proposals (RFP). The PSA serves as the “master contract” for future negotiated project related services, commonly referred to as Task Orders. Services and/or projects performed under a PSA contract must be identified in the RFP and the “Scope of Services” section of the agreement. Services performed under the PSA may be related to projects that involve federal, state, or local funding sources, or a combination thereof.

A. LENGTH OF AGREEMENT

As per State Procurement, PSA contracts should not exceed a total of a four (4)-year period (base year plus up to three one-year extensions). If you are a home rule municipality, the length of the PSA may be longer than four years. If you are a home rule municipality, please contact your FAA Program Manager to discuss PSA length. The PSA should contain a clause that allows the sponsor to terminate the agreement for convenience as well as a clause that allows the Sponsor to issue a project specific RFP should the Sponsor and Consultant not agree to the cost of a proposed Task Order.

B. SCOPE OF SERVICES

When a Sponsor issues a Request for Proposals (RFP) for a PSA contract based on a Qualification-Based Selection (QBS), the RFP 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 must also include a specific list of potential (not guaranteed) projects from the Sponsor’s five-year Airport Capital Improvement Plan (ACIP). The ACIP is discussed in Section IV below. The scope of work should also include environmental documentation for the projects (see Section XII below).

The Scope of Services included in the final PSA contract must include the services and projects identified in the RFP. Each Task Order issued under the PSA should include a more detailed Scope of Services for the specific project than 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 RFP, must be separately bid and awarded through the competitive process unless the FAA and NMAD agree that the PSA can be used for the project. Projects requested under generic terms such as; “other projects as required,” “construct various taxiways,” are not acceptable for FAA participation.

C. CONSULTANT SELECTION

If the Sponsor expects to utilize federal funding for any of the projects included in the RFP’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 NMAD has sample RFP’s that meet the FAA’s requirement. If the Sponsor does not have a Professional Engineer or Registered Architect or Professional Surveyor on their staff, assistance in preparing and evaluating the RFP is available from the Professional Technical

Advisory Board (PTAB) at 505-888-6161 or acecnm@acecnm.org. The Sponsor's RFP 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. The selection must be made based on the consultant's qualifications only as expressed in the response to the RFP and as evaluated against the desired qualifications and point values contained in the RFP. Local preferences, 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 PSA 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. The FAA will review and comment on the Sponsors RFP and/or draft PSA. FAA will accept the Sponsor's PSA provided that projects within the scope of services are delineated in a manner that clearly communicates what is covered under the PSA. Should FAA determine that the subject PSA is not clearly written, it may require the Sponsor to revise the PSA or to go out for consultant selection process prior to consideration of federal funding for that project.

NMAD's Role:

The NMAD can provide limited support to Sponsors in the RFP process. The NMAD has sample RFP's for FAA funded projects and can assist the Sponsor in developing a reasonable project listing. The NMAD can also assist the Sponsor in contacting the PTAB. NMAD will follow the FAA's lead with regard to PSAs. If the FAA determines the Sponsor has satisfied all Federal criteria with its use of PSA for consultant services, the Sponsor may assume NMAD is satisfied. However, NMAD may ask for additional information from the Sponsor should it deem such information is necessary or if the PSA and/or consultant services being performed under the PSA 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, construction administration services or environmental 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 Sponsor's procurement personnel should have a thorough understanding of qualification based selection (QBS) and other state statute requirements (i.e. campaign contribution disclosure). Should the Sponsor not have the thorough understanding, the PTAB should be contacted for assistance. As a minimum, the PTAB should review all RFPs for professional services, if the Sponsor is eligible for PTAB assistance. The RFP and draft PSA should be sent to the FAA for their review and comment. The Sponsor should allow adequate time for the potential Consultants to respond to the RFP. A minimum 14 day period is recommended. The Sponsors must send copies of the executed PSA and Task Orders to the FAA for FAA funded projects.

The Sponsor may also utilize a PSA 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 four (4) years. The Sponsor shall clearly identify the desired services, projects, and the role of the consultant in both the RFP and the PSA. 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 NMAD for review and approval. The Sponsor shall also ensure that new Task Orders for FAA funded projects are included in, or directly related to, the projects listed in the original RFP and PSA. If the Sponsor requests a project that is not specifically listed in the PSA the costs for those consulting services will not be eligible for FAA participation.

Consultant’s Role:

The Consultant is limited in their ability to assist the Sponsor with the preparation or other efforts in the RFP process without jeopardizing their ability to propose on the RFP. The PTAB was established to provide the Sponsor with professional assistance in the RFP and QBS process. If a specific RFP issued by a Sponsor does not meet the appropriate federal, state, or local requirements, the deficiency in the RFP should be brought to the attention of the Sponsor, and if necessary, the FAA and the NMAD. After selection, the Consultant may assist the Sponsor in preparation of the PSA contract to ensure that the required federal, state, and local contractual language is included in it.

IV. AIRPORT CAPITAL IMPROVEMENT PLAN (ACIP) PROCESS

The ACIP is the primary planning tool that identifies future needs at the airports in New Mexico for the next five years. It also serves as the basis for the distribution of Airport Improvement Program grant funds. The FAA programs the first three years of the ACIP for the distribution of AIP funds. Figure One below illustrates the ACIP Planning Process.

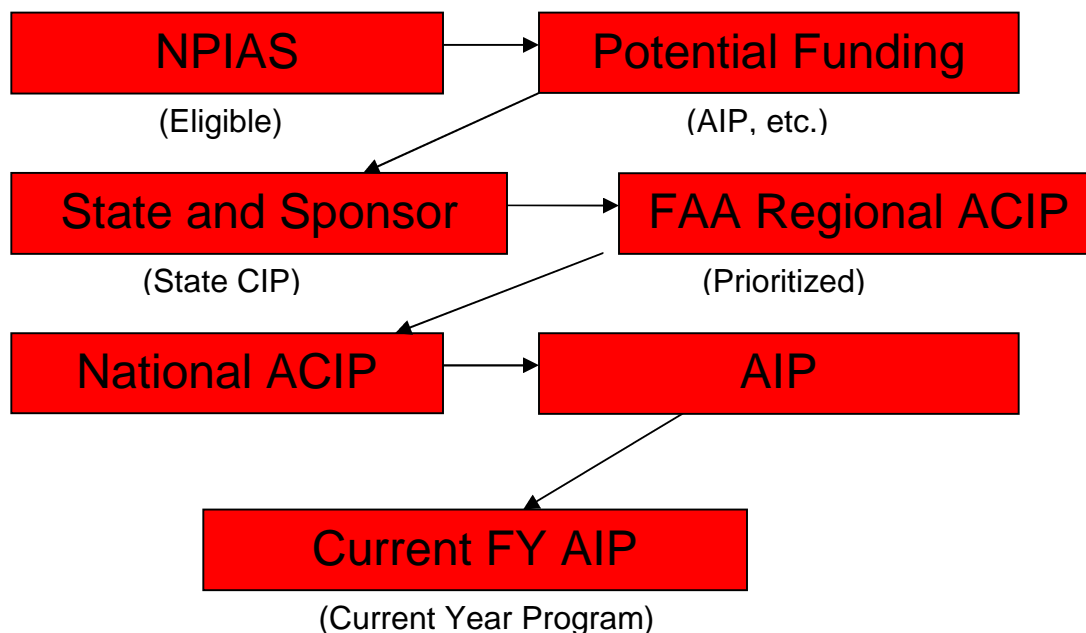


Figure One

For FAA and NMAD the airport’s ACIP is required to be updated annually and be submitted no later than March 31st of each year to the FAA and NMAD. Without exception the ACIP should be for the three years after the current Federal year. As an example it is March of calendar year 2009 and Federal

fiscal year 2009, the

ACIP would be for Federal fiscal year 2010 through 2012. The FAA will in turn coordinate with NMAD for the funding of the projects submitted.

If a sponsor desires, an ACIP can be updated anytime within the Airport IQ program. Whenever an ACIP is updated with Airport IQ, the NMAD will be notified and will, in turn, notify the FAA. By constantly updating your ACIP within Airport IQ, both the FAA and NMAD will be aware of future and planned projects at your airport.

Several factors must be considered in the preparation process of the Sponsor's ACIP that leads to developing of the FAA/NMAD Capital Improvement Program. The ACIP must be prioritized and fully justified by the sponsor based on true needs and not wants. Sponsors must 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
- FAR Part 139 Inspection Report
- Meet eligibility requirements of FAA and NMAD.
- Be phased-in if the project is cost prohibitive based on limited State and Federal funding.
- Be the subject of early communication with FAA to ensure proper analysis pursuant to the National Environmental Policy Act (NEPA).
- Be consistent with the national priority system found within FAA Order 5100.39 Airports Capital Improvement Plan. A copy of **FAA Order 5100.39** can be found in FAA website: www.faa.gov/airports

The AICP is a dynamic document and Sponsors should start the ACIP preparation process early. Attachment Three is provided as a guide. Sponsors should:

- Ensure the Airport Layout Plan (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. Prioritize needs considering local requirements that must be met (i.e., funding local share, bidding process, etc.)
- Check with NMAD and FAA to determine any eligibility issues and environmental requirements, etc.
- Create a realistic program to provide to the FAA and NMAD with needed and justified projects so that we can better plan our statewide priorities.

If you are in the National Plan of Integrated Airport System (NPIAS), in addition to annually updating your airport's ACIP, you will also be asked to provide the FAA with a NPIAS CIP every other year. The FAA is required to provide Congress with a five-year estimate of AIP eligible development every two years. This un-constrained CIP will estimate the amount of AIP money needed to fund infrastructure development projects.

OVERALL DEVELOPMENT OBJECTIVE DATA SHEETS

A component of the ACIP process is the Overall Development Objective (ODO) Data Sheet. The ODOs are useful to FAA and NMAD in obtaining more realistic funding scenarios for those projects that may

not be able to receive complete AIP funding in one fiscal year. The ODO should be derived from the Sponsor's annual ACIP. The FAA and NMAD will annually request from each Airport Sponsor an ODO for the project they are requesting for the following Federal Fiscal Year (FY.) This ODO should reflect the highest priority and fundable project from the airport's ACIP. The ODO submitted by the Airport Sponsor must be realistic, eligible and fundable by NMAD and FAA. Any ODO that is not will be retained on file but will not be funded and the Sponsor will be advised by the FAA and/or NMAD. Any Sponsor that does not submit an ODO by the date requested will not receive consideration for a grant the following year.

For any grant that is for construction "design only" the Task Order must be restricted to the actual design only and cannot include any of the bidding process, project management, or any other item outside of the actual design of the project. All design only Task Orders need to include a completion date for the design and submission to the FAA, and some type of monetary reduction for failure to meet the maximum allowed date.

The ACIP on file with NMAD and FAA does not substitute for the requested ODO. The ODO will provide the justification and more accurate cost estimate of the project and should always reflect the bottom line for the project. This bottom line is important for NMAD and FAA funding due to the budgetary requirements. Any Sponsor that submits an ODO that does not provided the total project costs on the bottom line can only expect funding at the requested amount per the ODO.

For FAA and NMAD the airport's ODO is required to be submitted no later than March 31st of each year to the FAA and NMAD. Within 30 days after the cut off date for submission of ODOs the FAA and NMAD will meet to establish the fundable projects for the following fiscal year. Any changes to the listing of projects from this meeting will have to be approved first by NMAD and then submitted to the FAA. Once any project is programmed by the FAA and sent forward for FAA Headquarters processing the work items funds can be deleted; however they cannot be increased unless prior approval is given by FAA and NMAD. Any project change requested prior to programming that would involve an increase in funds after the joint meeting will require NMAD to select a project where funds will be reduced for it.

FAA's Role:

The FAA will work with all parties to identify by Fiscal Year the projects that will require environmental clearances, airspace approvals, ALP modifications/approvals, and coordination with other FAA lines of business. This early notification by the FAA to NMAD and the Sponsor of probable projects will allow the Sponsors to assign resources to all projects with the most probable chance of being funded. In particular, FAA's Program Manager will work with NMAD and other FAA staff to assist the Sponsor/Consultant with determining project readiness. NMAD 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.

NMAD Role:

NMAD will work with airports to develop a strategic plan for the most-effective application and use of federal and state airport development funds. The NMAD will assist the Sponsor in the development of their ACIP. The NMAD develops a Statewide Capital Improvement Program every five years to parallel the FAA Airport Capital Improvement Program, with the dual objective of maximizing the effective use of State dollars for airport development and maximizing FAA funding for New Mexico's airports. In

addition, NMAD will develop a list of priority projects that will be submitted to the FAA annually. The priority projects list will be derived from submitted ACIPs and meetings with Sponsors.

Sponsor's Role:

The Sponsor should focus on preparing an accurate ACIP based on the recommendations above, with accurate data and justification for each project. The ACIP should accurately reflect a true program, needed and justified projects with realistic funding expectations. Projects should be based first on safety, then the preservation of the existing airside pavements, and then expansion or development of the airport. FAA and NMAD will be able to provide the Sponsor the anticipated projects 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 must prepare budgets to support the anticipated projects, to include anticipated FAA and NMAD grant monies. The Sponsor must also budget for the completion of ongoing projects.

The Sponsor should continue working with NMAD in the Airport IQ program. Coordination between all parties is beneficial to make sure that Sponsors are maximizing all funding sources appropriately.

Consultant's Role:

The Consultant may be responsible for providing advice and guidance to the Sponsor 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 NMAD. The submittal of the ACIP has to be by the Sponsor and under Sponsor's signature due to a possible financial requirement should the projects become a reality. 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 three-year ACIP.

V. MASTER PLAN /ACTION PLAN PROCESS

Airport Master Plans (MP) are planning documents that address the current and future status and needs of the airport. An Airport Action Plan (AP) is a smaller document that addresses the current and future needs in a more limited time horizon and does not contain all of the elements of a Master Plan. 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 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. As there is no written guidance for the development of an Action Plan, when preparing an action plan, you may use AC 150/5070-6 as a guide; however, it is strongly recommended that you contact both NMAD and the FAA to talk about planning horizons and our expectations when devising the scope of work for an Action Plan.

As the MP/AP is developed the planned growth and development of the airport should not be based on a specific project being done in a specific year due to the MP/AP saying by that year it will be needed. All proposed projects should be based on a significant event or milestone occurring. MPs based on a year to year project scenario are hampered if the FAA cannot fund any or a portion of a year or the project for that year was not justified or needed but only wanted by the sponsor. The MP/AP is a dynamic document that will give the Sponsor a tool in the planned growth and development of the airport.

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 will 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 percent within the first five years, or 15 percent within the 10-year planning timeframe, must be fully justified by the Sponsor and agreed upon by the FAA.

NMAD's Role:

NMAD will provide assistance and guidance to the Sponsor for developmental issues of the airport; will review MP/AP for conformance with the short and long range goals of the State Aviation System Plan; and will review MP/AP for realistic, reasonable and attainable goals and development. For State/Local grants, NMAD will follow the FAA criteria for MPs. An airport's MP/AP will be a tool used by the NMAD 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/AP 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 airport's overall maintenance, development, and operation. A MP/AP is also a tool to help the Sponsor get a good handle of the planned development and projects that will be happening at their airport over the short term planning horizon. This will also assist the Sponsor with preparing budgets for the airport. 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 NMAD, it is highly recommended that the information that the Sponsor submits to the FAA and NMAD is accurate data. The more complete information the Sponsor can provide the more effective the review process. The Sponsor's input is essential as the role of the airport is guided by the vision of the Sponsor. The Sponsor should provide information to the Consultant on the Sponsor's airport vision and development inquires regarding the airport. As most Sponsors in New Mexico are local governing bodies, the Sponsor should inform the Consultant of development activities in the region the airport supports that may have an impact on the role the airport may play in supporting this development.

Consultant's Role:

If retained by the Sponsor to prepare the Airport's MP/AP 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/AP documents and/or the ALP drawings.
3. Submit the aviation 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”.
7. If a new ALP is prepared, or a significant update to the ALP is prepared, ensure that the ALP complies with current FAA ALP criteria.
8. Coordinate the submittal of both the draft and final ALP to the FAA.

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

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. When signed by the FAA it becomes a Federal document. While FAA will generally require an approved ALP, it is understood that sometimes unforeseen development is required and the Sponsor cannot wait for an ALP update to be approved by the FAA. In those cases, FAA may make a letter approval change to the ALP to allow development of the subject project(s) provided the following applies:-

- The FAA can categorically exclude the subject development from further environmental review
- The subject project is not part of an ongoing environmental review
- The subject project receives airspace approval prior to the letter approval change being accepted
- The subject development is of sufficient priority to warrant an exception
- 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.

An update to the ALP may include only a portion of the full ALP (as defined in the most current version of AC 150/5070-6), such as the Airport Layout Drawing or Part 77 Airspace drawing. An item that is shown as proposed on an approved ALP will require FAA approval prior to construction.

FAA's Role:

The ALP is an official planning document and is required to be approved by the FAA prior to consideration of federal funding. The FAA will review and coordinate the ALP submitted by the Sponsor. The ALP is used by numerous lines-of-business within the FAA and the review and accuracy of the contents of it by the FAA is very thorough.

The FAA may approve a change to the previously approved ALP by letter if construction is minor (e.g., a new T-hangar), after electronic submission of FAA Form 7460-1, Notice of Construction or Alteration, and satisfactory completion of an Aeronautical Study. In this case, the letter change would show the new construction and note the Aeronautical Study number and date approved. The Airport Sponsor and not the FAA is responsible for maintaining a master ALP that reflects all FAA approved revisions to the ALP.

Any proposed or future development as shown on the existing ALP still requires FAA approval through the aeronautical study process before construction is started.

If there are numerous letter 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.

When a draft ALP is completed it will be reviewed in a timely manner by the FAA for accuracy of detail and that all required data is provided and correct. If FAA finds that substantial revisions, changes, corrections, or additional information is required, FAA will submit one set of comments directly to the Sponsor (with a copy to NMAD and the Consultant) for reconciliation. After the Sponsor/Consultant makes the appropriate changes, the sponsor will resubmit the revised draft to the FAA for review. If FAA finds the revised draft ALP acceptable then FAA internal coordination with other FAA lines of business will be initiated.

The FAA Program Manager will advise the Sponsor the number of the final draft ALPs that will be required for the formal Aeronautical Study. Because the FAA review process may make further changes, Sponsors are not required to include a signature on the draft ALP. Sponsor signatures will only be required on its final submission after all FAA comments have been accounted for. This submission is the one that the FAA will ultimately approve.

Airspace procedures are further defined in Section VII.

The FAA will provide approved copies of the ALP to the Sponsor, NMAD, and the consultant who prepared the ALP with the approval letter.

NMAD's Role:

The NMAD will endeavor to facilitate the State's airports and the FAA with the development of an accurate ALP for each of New Mexico's public airports. In addition to the Sponsor, the NMAD will keep a master ALP for each airport on file.

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 for the Sponsor; however the ALP is still the Sponsor's document. The Sponsor must 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 required. This document is critical for potential funding from the FAA for future capital improvements at the Airport. Any draft ALP submitted to the FAA must come through the Sponsor to ensure they have reviewed the document prior to submission.

All final ALPs signed by the Sponsor are to be submitted to FAA by the Airport Sponsor via transmittal under its letterhead. This provides FAA with assurance of the Airport Sponsor's acceptance of the document and understanding of any proposed development at this key decision point in the process.

Any change to the approved ALP requires an aeronautical study for approval or disapproval of the change. This change to the ALP is required for all construction or improvements to the airport and not only for an AIP funded project. The Sponsor is the responsible party for filing of the request for any aeronautical study involving their airport and the change to the ALP. All aeronautical studies for on-airport construction will be electronically filed at <http://oeaaa.faa.gov> (note no www) and not through the program manager.

Consultant's Role:

If retained by the Sponsor to prepare an updated ALP not associated with an Airport MP/AP project, the Consultant may provide the following services:

1. If a new ALP is prepared, or a significant update to the ALP is prepared, ensure that the ALP complies with the current FAA Advisory Circular(s.)
2. Coordinate the submittal of both the draft and final ALP to the Sponsor for their coordination with the NMAD and FAA.
3. Assist the Sponsor in determining if an ALP requires a "full approval" by the FAA, a "pen and ink" or just an update to one of the ALP drawings.
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 SW Region checklist. This checklist can be found in Appendix 5.
5. Through the Sponsor, coordinate the submittal of both the draft and final ALP to the FAA.

VII. AIRSPACE PROCESS:

As required by Title 49, USC and the Grant Agreement Grant Assurances all airports receiving AIP funds are required to have a FAA approved Airport Layout Plan on file.

The Airport Sponsor as owner of the airport has the sole authority for development of the airport, but also is required to obtain approval for any change to the federally approved ALP from the FAA prior to that change occurring on the airport. This means anything constructed or installed on the airport. This approval process is through the Aeronautical Study process as contained within FAA Order 7400.2, Procedures for Handling Airspace Matters.

Any changes that any Airport Sponsor is considering on the airport will result in a change to the ALP. This is an all encompassing action, and includes but is not limited to; fencing of any type, power poles, storage sheds or facilities for storage and any antennas placed by tenants.

An item that is shown as proposed or future on an approved ALP will require FAA approval prior to actual construction. The item being shown as proposed does not provide the details required of an actual Aeronautical Study provides.

For any structure construction where a crane will be required the crane, as well as the structure, will require a study. These both can be on the same submittal.

Anything of a temporary nature on the airport, such as a crane needed to repair a roof, or anything that will be placed on the airport temporarily requires this prior approval process to be completed.

All requests for a change to the ALP are to be filed electronically with the FAA at; <http://oeaaa.faa.gov>. (Please note there is no www in this address.)

For any AIP project involving construction the required detailed Safety Plan and the project itself each require an aeronautical study to be submitted by the Sponsor and receive FAA approval. The Sponsor will be notified by letter of approval.

FAA'S Role:

In the Aeronautical process the FAA Airports Division Program Manager (PM) reviews the request that the proponent electronically files with the FAA. If acceptable, the request is then assigned a distinct tracking number for processing and the PM then distributes the request to as many as four other FAA lines of business (LOB) for their review. This process by the FAA requires a minimum of 30 days to complete. This 30 day clock does not start upon filing of the notice but when the submitted study is reviewed by the PM.

These other LOB review the submittal for their specific areas of responsibility such as: aircraft operations, airport design standards, instrument approach requirements, obstruction evaluation (Part 77), and electromagnetic or possible interference with airport navigational equipment and communications. Within these the LOBs there are occasions that a more in-depth study of the request will be required by other than the reviewing party. Examples of sub-office review could occur if:

- The airport has an ILS and the signal of any of the components could be impacted,
- The structure may exceed the obstruction standards that would impact the minimum descent altitudes for instrument approach procedures,
- The project/structure could affect a control tower's line of sight. This may require additional time

to be added to complete the study.

Upon all LOB replying electronically to the study the PM will inform the Sponsor of the results. Once this is done it remains the Sponsor's responsibility to maintain the master ALP for the airport reflecting all additions approved by the FAA.

The FAA does have the authority to reject or disapprove any requested change to the ALP. Also the FAA can require the Airport Sponsor to remove any item after installation that could affect safety, utility or efficiency of the airport.

Regardless of who files the request with the FAA, the FAA shall address any determination affecting a requested change to the ALP to the Airport Sponsor with a copy to the NMAD and the proponent.

If the FAA receives a request for on airport construction from other than the sponsor the FAA will coordinate with the sponsor prior to initiating the study.

Sponsor's Role:

The Sponsor is the responsible party for filing of requests for any aeronautical study involving their airport and the change to the ALP. The Sponsor should always have advanced knowledge of requested aeronautical studies prior to them being submitted electronically to the FAA by a third party. If contacted by the FAA to ensure the Sponsor has knowledge of the proposal, the Sponsor will need to advise the FAA if it can proceed with the study or place it on hold until the Sponsor can coordinate with the proponent.

All aeronautical studies for on-airport construction will be electronically filed and not submitted through the program manager.

Consultant's Role:

The consultant may act on behalf of the Sponsor and file electronic aeronautical study requests.

VIII. FAA & NMAD FUNDING PROCESS

A. FAA Airport Improvement Program (AIP) FUNDING

The FAA Fiscal Year (FY) starts on October 1st and ends on September 30th. The State and County/City/Town/Village FYs begins on July 1st and end on June 30th. Congress approves the FAA authorization and appropriation funding level for each FY. Afterwards, the Office of Management and Budget (OMB) issues the FAA its funding allotments. FAA Headquarters (HQ) then 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 FAA 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.

The FAA and the NMAD meet each spring/summer to develop the proposed program for the following year.

AIP funding falls into the following areas:

- **Passenger entitlement funds** are available for commercial service airports (as defined by the NPIAS) 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.
- **Cargo entitlement funds** are available for airports served by aircraft providing air transportation of 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 the airport.
- **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 annually is \$150,000. Commercial service airports, those with 2,500 to 10,000 enplanements, also fall into this level of funding.
- **State Apportionment funds** are available to general aviation airports 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 such items as state population, number of NPIAS airports, etc.
- **Discretionary funds** are available to any airport identified within the NPIAS. These funds are provided at the discretion of only 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 5100.39, Airport Capital Improvement Program (ACIP). Copy available via FAA website: www.faa.gov/airports.) These funds are extremely competitive and a general aviation airport project may be competing with a large commercial service airport for these limited funds.

Sponsors receiving passenger entitlement or non-primary funds should plan projects to begin early in the calendar year for the following fiscal year. All grants for construction projects can only be issued based on bids. Early design will enable the bid process to take place and allow project start up and completion within the construction season.

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. This is especially important when additional funding based on the bids is being considered by FAA and/or NMAD. If the bids should expire the FAA, in coordination with NMAD, will determine if funding will remain available or if time remains available to rebid the project. The Sponsor will then be advised by the FAA or NMAD of the joint determination.

Through the course of the year, Sponsors are encouraged to coordinate funding availability for proposed projects with NMAD and their FAA Program Manager. 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 percent, 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 percent.)

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 costs negotiated and contracted, the Sponsor/Consultant is expected to stay within those costs and to provide all contractual deliverables. Any cost overruns on a planning grant will be the responsibility of the Sponsor. Within Grant Agreement Condition One it will specify the amount of funds of the Grant Agreement that are for planning. This fund amount cannot be exceeded.

FAA can allow for up to a 15 percent maximum increase to construction grants for all allowable and eligible costs (additional costs due to higher cost of material, unforeseeable circumstances, etc.). This additional percentage is not an entitlement to the Sponsor and these costs are evaluated and allowed only if funds are available. By Federal law the FAA is only required to provide funds up to the grant amount. As a matter of policy, changes or amendments to grant funding is determined at the end of the project when the project final report is received with the proper justification and supporting documentation. If, during the course of the project, it is discovered that additional funds will be required the grant cannot be amended until the project final report is received. By Federal law the types of additional funds to amend any grant is specified. For any overrun the Sponsor may be responsible for the additional funds until, and if, the funds become available.

Overruns are not based totally on the grant amount but on each bid line item of the bid tabulations and contract. Each line item that has an overrun must be described and justified in detail at closeout and within the project final report, to allow the FAA to make an eligibility determination on that line item. If a line item is under bid costs this is NOT an automatic off set for the overrun of another line. If a project is bid as a lump sum the FAA will not participate in any overruns.

Only work included in the grant description is considered eligible for such changes. All change orders require coordination with the FAA, but the FAA will not approve of them in the construction process. If approved, the FAA Program Manager will send a written approval either through hard copy or e-mail. The Sponsor is required to maintain a record of the discussion with the FAA Program Manager and to include this record of discussion in the mandatory project final report to assist in the eligibility determination. All change orders will be included in the project final report with full justification for FAA review and eligibility determination. If the change order involved a quantity increase change of any bid line item this justification is required and referenced. Except in extenuating circumstances, FAA will expect airports with entitlement funds to use those funds to cover approved overruns.

Funds recovered at grant closeout are used to fund amendments to other grants. Therefore, sufficient funds are not always available and several airports may be waiting for additional funds. 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 date and year the grant was originally issued. Also Federal rules state a 90 - day statute of limitations on reopening any financially closed grant to amend funds.

There are other restrictions related to amending grants. As a matter of policy, FAA does not support, nor approve, adding scope or expanding quantities 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.

PAYMENTS:

FAA allows sponsors to fund projects under a Letter of Credit (LOC), which allows them to electronically withdraw funds. This is available 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.

As previously stated, the demand for Federal funding far outweighs available resources. The FAA now monitors financial activity on open grants. One condition in all grant agreements states “The Sponsor shall carryout and complete the Project without undue delays and in accordance with the provisions” For monitoring purposes of financial activity the Program Manager will start contacting Sponsors at the third month of inactivity.

All payment requests submitted to the FAA must have documents that support and justify the requested funds. Any discrepancy in the funds requested verses the justification will cause a delay in payment until the Sponsor reconciles the request.

If a payment request has consulting fees for a Task Order that is not lump sum, the breakdown for the funds requested has to be shown. The fees requested has to be as the fees stipulated within the Task Order for the services rendered.

For LOC airports, it is recommended that at any time they do an electronic drawdown that they submit the documents at that time in-lieu of quarterly. The LOC drawdown report has to provide the same documents as a regular non-LOC payment request.

PROGRESS REPORTS:

Progress reports are required quarterly by Federal statues on all grants. For tracking purposes and simplicity the FAA requests these forms on a calendar quarterly basis starting with the quarter in which the grant is issued. If the Grant Agreement was issued in May the quarterly report would be due no later than July 30, which is 30 days after the end of the quarter. The quarterly reports are then due every quarter thereafter until such time the Grant Agreement is closed both financially and administratively. Progress reports must be received before any payment requests covering the time period can be honored.

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 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. As indicated above, the FAA desires to issue grants based on construction bids. The grant can include consultant fees for planning, environmental and design. The

Sponsor must incur the cost of the pre-grant consultant fees until the FAA grant is in place.

B. NMAD's FUNDING

NMAD's Role:

NMSA 1978, Section 64-1-13, as amended, provides in part that the NMAD shall cooperate with all public and private agencies and organizations to encourage and advance aviation in this State. Further, that it shall authorize the expenditure of state money for construction, development and maintenance of certain public-use airport facilities and navigation aids. This policy shall govern approval of grants made to Airport Sponsors pursuant to this authority.

PROJECT ELIGIBILITY:

Airports with regularly scheduled airline service utilizing aircraft with seating capacity in excess of 100 passengers, or a maximum payload capacity of more than twenty-five thousand pounds are not eligible for state funding. Airports on private land are not eligible for state funding unless the landowner files a written agreement with the aviation division director permitting public use of the facility without limit as to time. Airports receiving state funds shall not charge landing fees for aircraft except for aircraft used in commercial activities for compensation.

PROJECT APPLICATION:

Before being eligible for consideration by NMAD, a Sponsor must submit a properly completed application for a project grant on a form furnished by NMAD. It shall include an accurate description of work to be done, a sketch (entitled "exhibit A") of the airport identifying the ownership of the facility, a cost estimate (entitled "exhibit B"), and be signed by an authorized agent of the sponsor. A copy of the application can be found on the NMAD website (<http://www.nmshtd.state.nm.us/main.asp?secid=10871>)

PROJECT APPROVAL:

NMAD shall give priority for the award of grants based on the Aviation Division's determination as to the need for the project. If NMAD determines that the project meets all requirements of eligibility, that it meets the existing or future needs of aviation in the State, and that state aid is required to accomplish the project, the application shall become exhibit 1 of the grant agreement paperwork package. NMAD shall require the adoption of an airport maintenance resolution; and may also require the adoption of appropriate airspace and land use zoning ordinances. Copies of any required documentation shall be furnished to NMAD prior to the full processing of the grant agreement. NMAD shall prepare the grant agreement paperwork. The grant agreement shall become a legal document upon approval and execution by all required parties.

EXECUTION OF PROJECT:

The project shall be accomplished in accordance with the provision of the applicable state laws, aviation division regulations and covenants, and conditions of the approved grant agreement.

STATE PARTICIPATION:

NMAD is not restricted, other than by funds available, to a percentage of total amount of participation in any given project.

SPECIAL PROJECTS:

NMAD may occasionally find it prudent and advisable to participate in projects which are not related to a specific airport or which may be beneficial to aviation as a whole in New Mexico. In the event state funds are used for such purposes, NMAD shall work with the Sponsor to assist in the development of all needed documentation.

Sponsor's Role:

The primary goal for all Sponsors is to maximize funding dollars provided by the FAA and NMAD 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.

The Sponsors must budget for grant receipts and project expenditures during the Sponsor's fiscal year including on-going efforts and new projects that will begin during the Sponsor's fiscal year. The differences between the Federal and Sponsor fiscal years as well as the typical May to September receipts of FAA grants makes budgeting difficult.

The Sponsors must submit applications for Federal and State grants in a timely manner and ensure that the Governing Body approvals are obtained to meet the often short grant execution timeframes.

It shall be the Sponsor's responsibility to ensure required documents are provided to the FAA and NMAD in a timely manner. If the consulting firm originates a letter or request to the FAA or NMAD it has to come through the Sponsor to the FAA. All requests that involve a situation of Sponsor funds sent to the FAA must have a Sponsor signature to show concurrence in the request.

Consultant's Role:

If requested by the Sponsor, the Consultant may be responsible for providing advice and guidance regarding FAA and NMAD 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 NMAD. 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 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:

- Public agency develops list of projects to be paid for with PFCs.
- Airport Notifies Air Carriers of Consultation Meeting.
- Consultation Meeting -**must be held 30-45 days** after date of notification.
- Carrier Certification of Agreement/Disagreement - **no later than 30 days** after consultation meeting.
- FAA Reviews Draft Application (suggested).
- FAA Receives Application.
- FAA Determines if Application is Substantially Complete -**within 30 days of receipt.**
- Airport Notification of Supplement to FAA - **made within 15 days of completeness finding.**
- FAA Review Period - ends 120 days from date of receipt of application.
- 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.
-
- Public Comment period ends 30-days after notice is published.
- FAA files Notice for Publication in *Federal Register*, if there is controversy.
- FAA Regional Office prepares Record of Decision, if no controversy.
- FAA Washington Headquarters prepares a Record of Decision, if there is controversy.
- 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.**
- Airport notifies air carriers of approval and informs them to begin collection.
- Collection begins on the 1st day of the month, **at least 60 days** from carrier notification to begin collection.
- Air carriers remit PFCs to the airport monthly.
- 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 designed, 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 NMAD prior to a formal award of the construction contract.

Within the bidding process, all projects shall include within the bidding contract documents the unedited FAA Mandatory Contract Provisions which can be provided by NMAD or the FAA Program Manager.

FAA specifications cannot be altered in any manner without prior approval of the FAA Program Manager. This modification to standards can take up to six or more weeks for review and approval or disapproval. These modifications or changes to FAA specifications have to be submitted no less than two months before the pre-bid conference. Any request for a change to the FAA standards after the bidding process has commenced may result in the process being delayed or redone. Once the bidding process is completed and the contractor has been accepted by the Sponsor it is unlikely for any modifications to be approved.

FAA's Role:

The FAA policy is to issue grants based on bids. This process involves many players and requires continuous communication between the Sponsor/Consultant/NMAD 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 use the timeframes listed on the FAA Checklist found in Appendix 3 and start the process early in the fiscal year by contacting the NMAD and FAA 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.

NMAD Role:

NMAD interest in the Sponsor's bid process is two-fold. The Sponsor should be able to certify to the NMAD 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 NMAD 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 New Mexico.

Sponsor's Role:

The Sponsor should focus on not only complying with the FAA and NMAD requirements for a bid, but also complying 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 if the Sponsor efficiently coordinates this process well in advance of the bid process with the assistance of the FAA, NMAD, and the Consultant in the planning stage of the particular project.

Consultant's Role:

The Consultant shall coordinate with the Sponsor, FAA, and NMAD to ensure that adequate funding is in place prior to bidding. This should be done early on in the design process, long before 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 program 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.

STATE PRICE AGREEMENTS

A State Price Agreement (SPA) is a contractual agreement between the State of New Mexico and a vendor/contractor to provide services at a pre-determined price. The SPA is bid according to New Mexico Procurement regulations and the Contract awarded for one (1) year with up to four (4) optional one (1) year extensions. Services provided under an SPA typically include airport striping, coal tar seal rejuvenator, crack sealing, and retro-reflective lighting. The SPA is designed to assist Sponsors and communities with obtaining work on smaller jobs in a timely manner without having to bid it out.

In order for an SPA to be used using Airport Improvement Program (AIP) funds, the specifications listed in the SPA must meet or exceed the FAA specifications for that particular item. The contents of any SPA that would involve a modification to any FAA specification will have to go through the FAA approval/disapproval process. If any Sponsor desires to use a SPA other than those pre-approved as AIP eligible, the SPA must go through the NMAD who in turn will coordinate with the FAA for its use.

FAA's Role:

The FAA will, prior to the SPA being re-bid (not for one year extensions), review the SPA in a timely fashion to see if it meets current FAA specifications. The SPAs will be submitted to FAA by NMAD a minimum of 60 days prior to the SPA expiring. Once the review is complete, FAA will, in writing either through e-mail or formal letter, provide the NMAD with approval and/or comments.

NMAD's Role:

Due to the many SPAs, and to maintain control, NMAD will select the SPAs that benefit the States airports and submit them to the FAA for approval prior to bidding the agreement. NMAD will coordinate with FAA the SPAs that will be used using AIP funds for their review and approval. NMAD will coordinate with New Mexico Department of Transportation Purchasing Division to have the SPAs bid out and received in a timely manner. NMAD will be responsible for the SPAs complying with both the FAA and New Mexico procurements requirements for a bid.

Sponsor's Role:

When utilizing the SPA, it will be the Sponsor's responsibility to make sure that all project items are being met by this contractor. It will be the responsibility of the Sponsor to issue the contractor a safety plan, as required. It is also the Sponsor's responsibility to issue a purchase order to the SPA contractor in a timely manner once the project is approved by FAA. In use of the SPA the Sponsor is urged to have a resident inspector or engineer contracted to ensure that all SPA specifications are complied with. The Sponsor may contract with their consulting firm for this service.

Consultant's Role:

If requested by NMAD, the Consultant may be responsible for providing advice and guidance regarding the SPAs. Many times, the consultant is the one who is working with the SPA contractor and can provide guidance on issues that may have occurred while using the SPA. The Consultant may also assist the Sponsor in utilizing the SPA by assisting with contacting the contractor, etc.

X. SPONSOR CONTACT LIST

Questions have been raised previously related to acceptability of documentation being submitted directly by the Sponsor's Consultant to the FAA and NMAD on behalf of the Sponsor. However, in certain instances, when FAA and NMAD have asked, the Sponsor was not aware of the matter. Furthermore, both FAA and NMAD 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 NMAD by the Sponsor's Consultant, entitled Sponsor Contact List, is attached as Appendix 4.

XI. FAA MASTER PROGRAM FILES:

The FAA is required to have specific minimum documentation in the master project file located in the FAA Airports Development Office. These documents are required for phases of the grant process. The required documents that are internally provided are not listed in the following:

PROGRAMMING:

- Overall Development Objective Data Sheet – Submitted by Sponsor or Consultant
- Detailed cost estimate with bottom line – Submitted by Sponsor or Consultant
- Environmental determination and back up documentation – Environmental determination provided by FAA, back up documentation provided by Sponsor or Consultant
- All applicable consultant Task Orders – Submitted by Sponsor or Consultant
- Independent cost estimate if all Task Orders combined total exceeds \$100,000. Independent cost estimates can be coordinated with NMAD

BEFORE GRANT ISSUANCE:

- Bid tabulations with detailed cost estimate – Submitted by Sponsor or Consultant
- All applicable Sponsor Certifications – Submitted by Sponsor
- Safety Plan approval – Safety Plan submitted by Sponsor or Consultant. Approval provided by FAA.
- DBE approval by FAA Civil Rights if total grant exceeds \$250,000 – Submitted by Sponsor or Consultant
- Construction Management Plan if paving in excess of \$250,000 – Submitted by Sponsor or Consultant
- Sponsor concurrence in award to low bidder – Submitted by Sponsor.

GRANT ISSUANCE:

- Grant application – Submitted by Sponsor.

GRANT CLOSEOUT:

- Project Final Report (PFR.) The PFR is to include at least the following:
 - Summation listing of all test results, and annotated those that failed. The PFR will need to show the charge back to the contractor for all failed tests. – Submitted by Sponsor or Consultant

- Final Payment request – Submitted by Sponsor or Consultant
- Change orders with justification for each item changed for FAA eligibility determination – Submitted by Sponsor or Consultant
- Bid tabulation showing any and all line items with overruns and the detailed justification for a FAA eligibility determination. – Submitted by Sponsor or Consultant

Please make sure that all the required documentation is submitted to both FAA and NMAD.

XII. ENVIRONMENTAL OVERVIEW PROCESS

Federal agency actions are subject to the regulatory requirements of the National Environmental Policy Act (NEPA). The primary purpose of this is to ensure that, prior to taking an action, the Federal agency fully considers project justification, reasonable alternatives, potential environmental impacts and, in certain cases, public input. The agency then weighs environmental factors along with others, such as technical and economic considerations. The result is that reasonable project alternatives are considered, project impacts are disclosed (and mitigated, where necessary), and an informed decision is made. It should also be noted that numerous special-purpose laws and regulations addressing resource protection (e.g., Clean Water Act, National Historic Preservation Act, and Endangered Species Act) may pertain to the action.

Federal actions the FAA may take in regard to airports include the issuance of FAA grant monies, approval of Passenger Facility Charges (PFC) and approval of revisions to the Airport Layout Plan (ALP) at a Federally-obligated airport (regardless of funding source). If any of these are involved, the FAA must make an environmental determination.

FAA Order 1050.1E (Environmental Impacts: Policies and Procedures) presents FAA's agency-wide guidance regarding the environmental review process for NEPA compliance. FAA Order 5050.4B (NEPA Implementing Instructions for Airport Actions) provides supplemental guidance specifically addressing airport projects. Airport sponsors and their consultants should familiarize themselves with these orders to better understand the requirements and incorporate environmental review into their capital development process.

In accordance with NEPA, the FAA determines the appropriate level of environmental review. Certain actions are considered exempt from in-depth environmental impact analysis and public disclosure/involvement provided no "extraordinary circumstances" exist. Such exemptions are called Categorical Exclusions (CE) and are discussed in paragraphs 307 – 312 of FAA Order 1050.1E. Paragraph 303 specifies which "extraordinary circumstances" (i.e., impact categories) should be considered when screening for an action's CE eligibility. Similar airport-specific information is provided in paragraphs 604 - 606 of Order 5050.4B.

The process for providing documentation to support a CE has changed recently. For example, some Federal and State agencies which have historically provided project review and comment no longer do so, due primarily to workload/staffing issues. Therefore, the Sponsor must provide certain information to the FAA for its consideration. Subsequently, the FAA may need to consult certain agencies directly. In response to this challenge, the FAA Southwest Region has prepared guidance to assist airport sponsors and their consultants in obtaining the required information. It can be found at:

http://www.faa.gov/airports_airtraffic/airports/regional_guidance/southwest/environmental/environmental_guide/media/ce-documentation-information.doc

Early in a project's planning phase (i.e. 3 years before the program year) the Sponsor and its Consultants should communicate with their FAA Program Manager and Environmental Specialist to determine the environmental effort required (Please see FAA checklist/timeline located in Appendix 3.). This early coordination allows FAA staff to understand the initial, conceptual plan and highlight potential environmental issues which must be considered. The FAA Environmental Specialist will identify those impact categories which must be addressed. Information exchanged among the Sponsor, Consultants,

and the FAA fosters effective, efficient airport planning. It also promotes completing the required NEPA process in a timely, efficient manner.

Integration of environmental reviews into the capital improvement program is essential in order to avoid unnecessary delays. FAA Southwest Region policy states that environmental determinations should be completed no later than March 31st of the fiscal year in which you anticipate project funding. Information development and agency coordination can be time-consuming for those projects which must be screened for “extraordinary circumstances” to determine CE eligibility. Therefore, we recommend starting CE documentation efforts one fiscal year prior to your project. An environmental assessment (EA) should be initiated two fiscal years prior to your project, and an environmental impact statement (EIS) three fiscal years prior to your project.

FAA’s Role:

The FAA, through the LA/NM Airports Development Office (ADO), 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 will do one of the following regarding the proposed action: (1) issue a categorical exclusion (CE); (2) direct the Sponsor to prepare an environmental assessment (EA) under FAA oversight; or (3) prepare an environmental impact statement (EIS). An environmental determination can only be issued by the FAA. FAA also is responsible for conducting government-to-government consultation with Federally-recognized Native American tribes. The FAA, as early as possible, will provide the Sponsor, in writing, the environmental documentation required (agency coordination, EA, EIS). The FAA must initiate contact with the New Mexico State Historic Preservation Office (SHPO) on matters related to cultural or historic resources.

NMAD Role:

The NMAD will provide assistance and guidance to the Sponsor to facilitate its successful completion of the environmental review process. In addition, the NMAD will also assist the FAA in reviewing the Archaeological Resource Management System (ARMS) and providing archaeological and environmental clearance after the database is consulted. The NMAD will also assist the FAA in obtaining any required records or reviews from our sister State agencies in a timely manner.

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:

- In consultation with the FAA Program Manager and Environmental Specialist, consider known environmental factors in early planning efforts for proposed airport development projects.

- Provide environmental information to its Consultant and/or to FAA (FAA may request specific information from the Sponsor as it evaluates the potential for any extraordinary circumstances that may mandate the development of an EA or EIS). Prepare EAs or hire qualified environmental contractors to prepare those documents.
- Provide opportunity for public involvement where appropriate or required.
- Consult with FAA personnel and, as needed, coordinate with Federal, state and local agencies.
- Join FAA in a Memorandum of Understanding with the contractor FAA selects to prepare an EIS for a proposed action, when required.
- Initiate CE documentation efforts one fiscal year prior to a project; initiate an EA two fiscal years prior to a project; initiate an EIS three fiscal years prior to a project.
- The environmental process may start with Sponsors completing the agency coordination which is oftentimes referred to as the four-letter process. This process consists of the Sponsor sending letters to the U.S. Fish and Wildlife service, the U.S. Army Corp of Engineers, and the New Mexico Environment Department to determine if additional environmental studies are required. The fourth letter involves coordination with the State Historic Preservation Office (SHPO). This coordination must come through the FAA. Therefore, the Sponsor will make a request to the FAA for a determination if a consultation with SHPO is required.

The Sponsor should be aware that any construction on the airport which alters the ALP in any manner is required to have FAA approval in advance of construction or installation, including an environmental determination.

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 Exclusion finding on a specific project (i.e. the four-letter process). The Consultant should be thoroughly familiar with the FAA's environmental process and the pertinent FAA orders. During the development of either an EA or documentation for a CE, the Consultant should ensure that the Sponsor is aware of, and involved in, all communication between the Consultant and any affected federal, state, and local agencies. The Consultant may also assist the Sponsor with the public involvement process.

Appendix 1

FAA GRANT FUNDING PROCESS:

1. Begin with the selection of consultant according to FAA checklist and Timeframes
2. (Architectural/Planning/Environmental/Engineering service). Use FAA AC 150/5370-14 as a guideline if you plan on receiving federal funding.
3. The consultant Professional Services Agreement (PSA) fully executed and provided to the FAA.
4. Prepare your Overall Development Objective Data Sheet (ODO) including work identified in your current ACIP that meets your priority. Submit ODO to your FAA Program manager and NMAD with all required documentations. FAA will start programming eligible projects and submit through regular channels to obtain internal project approvals. FAA will issue Tentative Allocation (TA) letter after all internal approvals.
5. Ensure that all your DBE and environmental requirements are met.
6. Submit all applicable Task Orders for the specific project as listed on the ODO for funding in current FY to your FAA program manager.
7. Start your design/scope of work (for planning projects), etc. according to FAA checklist/timelines.
8. Consultant must follow FAA standards (planning or engineering projects), and schedule pre-design/scope of work meeting, as necessary, with the NMAD and FAA.
9. Consult with and address any issues with the FAA and NMAD as necessary during the design process, to ensure work is progressing as expected. Reports on work progress can be completed by submitting the required quarterly reports. For construction projects, consult with your FAA program manager and NMAD 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.
10. Provide final plans and specification, chapters of master plans, environmental or noise documents to your FAA program manager for review. Although NMAD is not a reviewing Agency, please also submit the same documentation as they are a funding agency. All necessary documentations must be submitted at the same time.
11. In case of construction projects, obtain FAA approval to bid the project and follow all federal/state and local requirements. Keep in mind FAA goals related to bids and time constraints for issuing grants.
12. In case of construction projects, open bids and submit bid tabulations with Sponsors recommendation for awarding contact to the FAA. Obtain FAA concurrence for awarding contracts.
13. Submit your final application to the FAA. Include all new necessary certifications, assurances, etc.
14. FAA will issue Grant Offer to sponsor (in case of planning and environmental - letter immediately after receiving Office of the Secretary of Transportation (OST) clearance, and for construction project - after awarding bids and obtaining OST clearances).

15. Grant Offers must be signed and dated by both the official representative of the Sponsor having signature authority to bind the Sponsor and their attorney. Return executed grant offer to FAA within the established deadlines indicated in the grant offer and cover letter.
16. Coordinate all proposed change orders and amendments with the FAA. Amendments for grant increase will not exceed 15 percent of the applicable 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 and NMAD informed of work progress by submitting payments in a timely manner with all supporting information and documentation.
18. Provide FAA program manager and NMAD quarterly progress reports until grant agreement is administratively and financially closed.
19. On any grant that is for construction “design only” the Task Order must be restricted to the actual design only and cannot include any of the bidding process, project management, DBE or any other item outside of the actual design of the project. All design only Task Orders need to include a completion date for the design and submission to the FAA, and some type of monetary reduction for failure to meet the maximum allowed date.

**20.Appendix 2
3-5 YEAR ACIP**

AIRPORT CAPITAL IMPROVEMENT PLAN (ACIP)
Airport Name (Identifier), City, ST

DATE CIP PREPARED:

CIP START YEAR:

** State Grant, Economic Development Grant, Bond Financing, Private: Other**
* Sponsor 5% Match Match*

\$ - Estimated Carryover Balance Match Amount for "AIP Funding Request" NOT Included when green:
Estimated Annual NPE Amount Multi-Year NPE Fronted Amount NOT Included when red:

Fed FY	Entitlement Available	ODO Priority	ODO Component Work Items/Phase	EST. Total Project Cost	Funding Source			AIP Funding Request	
					Entitlement	Other AIP	Match*		Other**
01							\$ 0		\$ 0
							\$ 0		\$ 0
							\$ 0		\$ 0
							\$ 0		\$ 0
02							\$ 0		\$ 0
							\$ 0		\$ 0
							\$ 0		\$ 0
							\$ 0		\$ 0
03							\$ 0		\$ 0
							\$ 0		\$ 0
							\$ 0		\$ 0
							\$ 0		\$ 0

APPENDIX 3

AIRPORT	SPONSOR GRANT EXPECTATIONS
Airport	Proposed Grant No.
Project(s)	Grant offer anticipated in (year)

(This is an abbreviated guide identifying specific expectations the FAA has as you pursue a federal grant for the project(s) listed above)

3 Years before Construction

- Define project(s) scope and document purpose and need _____
- Initiate an Environmental Impact Statement (EIS) _____
- Identify funding sources: AIP, PFC, State, Local, other _____
- Submit request for project(s), communicate the ODO's and 5 year CIP** _____
- Determine if any equipment/navaids will be affected _____
- Determine if instrument approach(es) will need amended, modified etc. _____
- Review Airport Layout Plan and Property Map _____
- Review status of all open grants _____

2 Years before Construction

- Select consultant (AC 150/5100-14) _____
- Hold pre-design/scoping meeting (AC 150/5300-9A) _____
- Coordinate environmental review with state and federal agencies _____
- Initiate an Environmental Assessment (EA) _____
- Update and submit total cost estimate in conjunction w/ annual CIP submission** _____
- Update ALP and submit for review and approval** _____
- Initiate Reimbursable Agreement with FAA _____
- Initiate Benefit Cost Analysis (BCA) _____
- Initiate Letter of Intent (LOI) _____
- Submit airspace of project(s) - 7460-1** _____
- Conduct obstruction survey _____
- Survey Runway Safety Area(s) associated w/ the project (do the RSA(s) meet standards?) _____
- Review status of all open grants _____
- Submit copy of signed professional services (engineering) contract** _____
- Submit copy of negotiations & independent fee analysis for contracts > \$100k** _____
- Submit Sponsor Certification for "Selection of Consultants"** _____

1 Year before Construction

- Update and submit total cost estimate in conjunction w/ annual ODO/CIP submission** _____
- Develop and submit comprehensive schedule for all grant project(s)** _____
- Submit environmental coordination or Environmental Assessment** _____
- Sign reimbursable agreement _____
- Submit obstruction survey** _____
- Initiate approach procedure (new, amendment, modification) request _____
- Develop and submit DBE Plan and/or goals to FAA's office of Civil Rights** _____
- Submit preliminary engineer's report** _____
- Submit any requests for modification of standards** _____
- Develop plans and specifications include alternates in accordance with budget _____
- Submit plans and specifications including final construction cost estimate** _____
- Submit Sponsor Certification for "Project Plans and Specifications"** _____
- Submit Construction Safety Plan for review & airspace coordination (AC 150/5370-2E)** _____
- Review status of all open grants _____

CONTINUED

APPENDIX 3 CONTINUED

Implementation Year (Grant Year)

- Submit Sponsor Certification for "Equipment/Construction Contracts" _____
- Submit Sponsor Certification for "Real Property Acquisition" _____
- Submit Sponsor Certification for "Drug-Free Workplace" _____
- Conduct pre-bid conference (AC 150/5300-9A) _____
- Advertise and bid project(s) _____
- Submit Bid Tabulation (and addenda) _____
- Submit Grant Application - SF424, 5100-100, narrative, DOT assurances & latest 5010 _____
- Execute Grant Offer and return "original" _____
- Submit Construction Management Plan for pavement projects > \$250,000 _____
- Conduct preconstruction conference _____
- Submit pre-construction photographs _____
- Submit "Distribution of AIP Costs" on a quarterly basis _____
- Submit Quarterly Performance reports _____
- Submit Construction Progress and Inspection Reports, FAA Form 5370-1 (quarterly) _____
- Submit summary of interim test results (quarterly) _____

Following Implementation Year (Close-Out)
--

- Conduct final inspection _____
- Submit summary of change orders _____
- Submit Sponsor Certification for "Construction Project Final Acceptance" _____
- Submit letter request for Grant Amendment (to cover eligible cost over runs) _____
- Submit Real Property Acquisition Certification of Title Evidence _____
- Submit Sponsor Uniform Act Certification (see AC 150/5100-17) _____
- Submit Planning Report/Study _____
- Submit post construction and/or equipment photographs (w/ equipment ID etc.) _____
- Submit Final Test and Quality Control report _____
- Submit updated ALP and/or property map _____
- Submit final "Distribution of AIP Costs" _____
- Submit Final Report (attach FAA form 5110-17) _____
- Conduct OMB A-133 Audit _____

APPENDIX 4

ACCEPTABLE SPONSOR/CONSULTANT LIST OF SUBMITTALS/ACTIONS				
SUBJECT	ITEM	TO BE SUBMITTED BY SPONSOR	CAN BE SUBMITTED BY CONSULTANT	REMARKS
THIS APPLIES TO CONSULTANTS APPOINTED BY THE SPONSOR AS THEIR REP				
ACIP FORMS		Y	Y/Forms must be signed by sponsor	Consultant could help with preparation
AIP CONSTRUCTION/PLANNING/LAND PROJECTS				
CONSTRUCTION	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		
PLANNING				
	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
LAND	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.
PFC	Application	Y		Can be prepared by consultant
	Amendments	Y		Can be prepared by consultant
ENVIRONMENTAL	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)
AIRSPACE	NRA	Y	Y	Or any proponent
	OE			Air Traffic Division issue.
MISC.	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

NOTES 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.

APPENDIX 5



U.S. Department of Transportation
Federal Aviation Administration
Southwest Region – Louisiana/New Mexico
Airports Development Office
Effective Date: 2006

Airport Layout Plan Drawing Set Checklist

Name of Airport: _____
Location of Airport: _____
Date of Review: _____ Reviewed by: _____

Significant Development Changes Since Previous ALP Approval/or Narrative

1. _____
2. _____
3. _____
4. _____
5. _____
6. _____

In order to protect the airspace for future conditions, complete the following information:

Future Airport Reference Point (ARP) (if same as existing, provide existing ARP)

ARP Latitude _____ ARP Longitude _____

Future Rwy End Coordinates & Rwy End Elevation (if same as existing, provide existing coordinates)

Rwy End ___ Rwy End Latitude _____ Rwy End Longitude _____ Rwy End Elevation _____
Rwy End ___ Rwy End Latitude _____ Rwy End Longitude _____ Rwy End Elevation _____
Rwy End ___ Rwy End Latitude _____ Rwy End Longitude _____ Rwy End Elevation _____
Rwy End ___ Rwy End Latitude _____ Rwy End Longitude _____ Rwy End Elevation _____

Existing and Proposed Modification of Standards (MOS)

Existing Deviation of Standard/ FAA Approved MOS FAA Approval Date (if any) Expiration Date (if any)

1. _____
2. _____
3. _____

Proposed Deviation of Standard/ FAA Modification of Standards

1. _____
2. _____
3. _____

Runway Safety Area Re-Evaluations

- () Concur with Runway Safety Area Determination currently on file with FAA.
- () Reevaluation of Runway Safety Area Determination completed as part of planning document and shown on this ALP set.

Narrative Report

Yes No Comments

Report Provided () () _____

Aeronautical Forecasts

- 0-5 yrs., 6-10 yrs., 10-20 yrs () () _____
- Total annual operations () () _____
- Annual itinerant operations () () _____
- Based aircraft () () _____
- Annual instrument approaches (if applicable) () () _____
- Annual itinerant operations by critical aircraft () () _____
- Annual itinerant ops by more demanding aircraft () () _____

- Proposed Development Justification () () _____
- Special Issues (MOS, etc.) () () _____
- Development Schedule and Graphics () () _____
- Proper Agency Coordination (sponsor, local, state) () () _____

Airport Layout Drawing

- Proper Agency Approval (Sponsor, Local, State) () () _____
- Sheet Size - 24"x36"/ 22" x 34" () () _____
- Scale 1"=200'-600' () () _____
- 2'-10' Labeled Contours () () _____

North Arrow

- True & magnetic () () _____
- Declination w/ annual rate of change () () _____

Wind Rose

- Source & time period () () _____
- MPH & knots () () _____
- 12 MPH individual & combined coverage () () _____
- 15 MPH individual & combined coverage () () _____

Airport Reference Point (ARP)

- Existing w/ Lat./ Long. (NAD 83) () () _____
- Ultimate w/ Lat./ Long. (NAD 83) () () _____

Elevations (Existing & Ultimate)

- Existing runway ends () () _____
- Displaced thresholds () () _____
- Ultimate runway ends () () _____
- Runway intersections () () _____
- Runway high & low points () () _____
- Touchdown zone elevation () () _____
- (highest Rwy elevation in first 3,000' of any Rwy having published straight-in minima)

Drawing Lines

- Existing property boundary () () _____

- Ultimate property boundary () () _____
- Building restriction line (both sides) () () _____
- Existing development shown as solid () () _____
- Future development shown as dashed/ shaded () () _____

Runway Drawing Details (Existing & Ultimate)

- Runway(s) Depiction () () _____
- Length & width () () _____
- End numbers () () _____
- True bearing (nearest sec.) () () _____
- Markings (basic, NPI, PIR) () () _____
- Lighting (thresholds only) () () _____
- Threshold lat/ long & elevations () () _____
- Displaced threshold lat/ long & elevations () () _____
- Runway safety areas & dimensions () () _____
- Runway object free areas & dimensions () () _____
- Runway obstacle free zones () () _____
- Centerline w/ true bearing () () _____
- Approach aids indicated (ILS, REILS, etc.) () () _____
- Lat/ long & elevation for non-federal on-airport NAVAIDS
(used for instrument approach procedure) () () _____

Taxiway Details (Existing & Ultimate)

- Taxiway widths () () _____
- Designations () () _____
- Separation dimensions to:
 - Runway centerline(s) () () _____
 - Parallel taxiway(s) () () _____
 - Aircraft parking area(s) () () _____

Aircraft Parking Aprons

- Existing & ultimate aprons shown () () _____
- Dimensions () () _____
- Tie-down layout/ locations () () _____

Runway Protection Zones (RPZs)

- Existing & ultimate RPZs shown () () _____
- Dimensions () () _____
- Approach slope (20:1, 34:1, 50:1) () () _____

Title & Revision Blocks

- Name and location of airport () () _____
- Name of preparer () () _____
- Date of drawing () () _____
- Drawing title () () _____
- Revision block () () _____
- FAA disclaimer () () _____
- Sponsor approval block () () _____

Airport Data Block (Existing & Ultimate)

- Airport elevation (MSL) () () _____
- Airport Reference Point (ARP) Data () () _____
- Airport & terminal NAVAIDS (beacon, ILS) () () _____
- Mean maximum temperature () () _____
- Airport Reference Code (ARC) for each runway () () _____
- Design Aircraft for each runway () () _____
- Identify GPS at airport () () _____

Airport Layout Drawing (Continued)

Yes No Comments

Runway Data Block (Existing & Ultimate)

- % effective gradient () () _____
- % wind coverage (MPH & knots) () () _____
- Maximum elevation above MSL () () _____
- Runway length () () _____
- Runway width () () _____
- Runway surface type (turf, asphalt...) () () _____
- Runway strength (SWG, DWG...) () () _____
- Part 77 approach category (visual, NPI, PIR) () () _____
- Type instrument approach (ILS, GPS...) () () _____
- Approach slope (20:1, 34:1, 50:1) () () _____
- Runway lighting (HIRL, MIRL, LIRL) () () _____
- Runway marking (PIR, NPI, BCS) () () _____
- NAVAIDS & visual aids () () _____
- Runway safety area dimensions () () _____
(standard and non-standard)

Miscellaneous

- Airport facility/ building list (existing & future) () () _____
- Standard legend () () _____
- Location map () () _____
- Vicinity map () () _____
- Roadways, traverse ways identified () () _____

Additional Comments:

Airport Airspace Drawing

- Ultimate Runway Length Plan View of Surfaces () () _____
- Profile View of Ultimate Runway Lengths () () _____
- Obstruction Data Tables () () _____
- Sheet Size Same as ALP () () _____
- Plan View Scale 1"=2000' () () _____
- Profile View Scale 1"=1000' Horizontal, 1"=100' Vertical () () _____
- Title & Revision Blocks () () _____

Approach Plan View Details

- USGS base map () () _____
- Runway end numbers shown () () _____
- Elevation contours of 50' on all slopes () () _____
- Show most demanding surface lines as solid and others as dashed () () _____
- Identify penetrating objects & top elevations (for those in inner approach add note, "Refer to the inner portion of the approach surface plan view details for close-in obstructions.") () () _____
- Show PIR approach of 50,000 on separate sheet as necessary () () _____
- Note any height restriction zoning/ ordinances/ statutes in place () () _____

Approach Profile View Details

- Ground profile along extended centerline () () _____
(highest profile elevations of width & length of approach)
- Identify significant objects (roads, rivers, etc.) w/ elevations () () _____
- Existing & ultimate runway ends and approach slopes () () _____

Additional Comments:

Inner Portion of the Approach Surface Drawing

	Yes	No	Comments
Large-Scale Plan View for Each Runway End (up to 100' height above runway end)	()	()	_____
Large-Scale Profile View for Each Runway End (up to 100' height above runway end)	()	()	_____
Sheet Size	()	()	_____
Scale 1"=200' Horizontal, 1"=20' Vertical	()	()	_____
Title & Revision Blocks	()	()	_____

Separate Approach Tables with Obstruction Data

- Type of approach (NPI, etc.)	()	()	_____
- Approach Slope (20:1, etc.)	()	()	_____
- Obstruction number	()	()	_____
- Obstruction description	()	()	_____
- Approach penetration (in feet)	()	()	_____
- Proposed mitigation (including "none.")	()	()	_____

Inner Approach Plan View Details

- Aerial photo base map	()	()	_____
- Obstructions numbered	()	()	_____
- Property line depicted	()	()	_____
- Identify by numbers all traverse ways w/ elevations & vertical clearances in approach (at approach edge & extended centerline)	()	()	_____
- Depict existing & ultimate runway ends	()	()	_____
- Ground contours shown	()	()	_____

Inner Approach Profile View Details

- Identify significant terrain/ items in RSA	()	()	_____
- Identify obstructions with numbers on plan view	()	()	_____
- Depict roads and railroads at edge of approach as dashed	()	()	_____

Additional Comments:

Terminal Area Drawing

Large-Scale Plan View of Terminal/ GA Area(s) as Needed	()	()	_____
Show Existing & Future Buildings	()	()	_____
Sheet Size Same as ALP	()	()	_____
Scale 1"=50'-100'	()	()	_____
Title & Revision Bocks	()	()	_____
Legend	()	()	_____

Building Data Table (Existing & Ultimate)

- Number facilities	()	()	_____
- Include top elevations	()	()	_____
- Identify obstruction marking	()	()	_____

Additional Comments:

Land Use Drawing (Existing & Ultimate)

Yes No Comments

- Basic airport features/ surfaces () () _____
- Property lines () () _____
- Include all land uses (industrial, residential, etc.) on & off airport (including non-aeronautical) to minimum 65 LDN () () _____
- Line of sight or runway visibility zones shown () () _____
- Note any existing land use ordinances/ statutes in place () () _____
- Noise contours as required in scope of work (60, 65 & 70 LDN) () () _____
- Sheet size same as ALP () () _____
- Scale same as ALP () () _____
- Title & revision block () () _____
- Aerial base map () () _____
- Legend (symbols and land use descriptions) () () _____
- Identify recommended land use changes () () _____
- Identify public facilities (schools, parks, etc.) () () _____

Additional Comments:

Airport Property Map (Existing & Ultimate)

- Property Lines (Clear & Bold) () () _____
- RPZ's Shown () () _____
- Tracts of Land on and off Airport () () _____
- Sheet Size Same as ALP () () _____
- Scale Same as ALP () () _____
- Title & Revision Block () () _____
- Legend () () _____
- Airport Features (expansion, etc.)/ Critical Surfaces (RSA's, etc.) Shown (to aid in determining eligible land needs) () () _____

Data Table

- Numbering system for parcels () () _____
- Date of acquisition () () _____
- Federal aid project number () () _____
- Type of ownership (fee, easement, federal surplus, etc.) () () _____
- Parcel acreage () () _____

Additional Comments:

New Mexico Aviation Division

(Albuquerque Office)

New Mexico Aviation Division

P.O. Box 9830

Albuquerque, NM 87119-9830

Phone: (505) 244-1788

Fax: (505) 244-1790

Website: www.nmshtd.state.nm.us/main.asp?secid=10871

Aviation Division Staff

Aviation Director

David C. Ploeger, davidc.ploeger@state.nm.us (505) 476-0930

Safety & Education Bureau Chief

Vacant

Airport Development Administrator

Jane Lucero jane.lucero@state.nm.us (505) 476-0941

Business Operations Specialist

Cheryl Primeaux cheryl.primeaux@state.nm.us (505) 476-0940

Grants Administrator

Dan Moran dan.moran@state.nm.us (505) 476-0934

Aircraft Registration

David Silva davidj.silva@state.nm.us (505) 476-0939

Filename: Best Practices FINAL .doc
Directory: C:\Documents and Settings\0mretz\Desktop
Template: C:\Documents and Settings\0mretz\Application
Data\Microsoft\Templates\Normal.dot
Title: New Mexico Airports Best Practices Guide
Subject: New Mexico Airports Best Practices Guide
Author: Federal Aviation Administration, Southwest Region,
Airports Division
Keywords: New Mexico Airports Best Practices Guide Federal
Aviation Administration, Southwest Region, Airports Division
Comments:
Creation Date: 10/13/2010 7:51:00 AM
Change Number: 3
Last Saved On: 11/15/2010 4:51:00 PM
Last Saved By: 0mretz
Total Editing Time: 5 Minutes
Last Printed On: 11/15/2010 4:56:00 PM
As of Last Complete Printing
Number of Pages: 52
Number of Words: 17,820 (approx.)
Number of Characters: 93,380 (approx.)